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Department of  
Agriculture**

Marketing and  
Regulatory  
Programs

Animal and  
Plant Health  
Inspection  
Service

Plant Protection  
and Quarantine

Interim Edition

# **CITES I-II-III Protected Timber Manual**

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# Introduction

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## Purpose

The *CITES Appendixes I-II-III Protected Timber Guidelines* manual provides the procedures for the enforcement of the Convention on International Trade in Endangered Species of Wild Flora and Fauna (CITES) Appendix I, Appendix II, and Appendix III timber species.

As defined by the Convention, the appendixes are as follows:

- ◆ Appendix I includes those timber species that are the **most** endangered among CITES-listed plants, and are threatened with extinction; CITES generally prohibits commercial international trade in specimens of these species

- ◆ Appendix II includes those timber species which are **not** necessarily threatened with extinction but may become so, unless trade in specimens of such species is subject to strict regulation in order to avoid utilization which is incompatible with the species' survival
- ◆ Appendix III includes those timber species that have been added at the request of a Party that already regulates trade in the species and that needs the cooperation of other countries to prevent unsustainable or illegal exploitation of the species

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## Scope

This manual covers CITES Appendix I, Appendix II, and Appendix III timber species of the Convention on International Trade in Endangered Species of Wild Flora and Fauna.

The manual is divided into tabbed chapters:

- ◆ ***Introduction***
- ◆ ***Importation of CITES Protected Timber***
- ◆ ***Re-exportation of CITES Protected Timber***
- ◆ ***Violations, Seizures, and Forfeitures***

The ***Introduction*** provides basic information about the manual such as purpose, scope, and users. Other information includes related documents, directions on how to use the manual, and a description of conventions (unfamiliar or unique symbols and highlighting) that appear throughout the manual.

The ***Importation of CITES Protected Timber*** chapter provides the procedures for verifying the handling and importing of articles produced from timber species listed in CITES Appendix I, Appendix II, and Appendix III.

The ***Re-exportation of CITES Protected Timber*** chapter provides the procedures for verifying and handling the re-exporting of articles produced from timber species listed in CITES Appendix I, Appendix II, and Appendix III.

The ***Violations, Seizures, and Forfeitures*** chapter provides the procedures for seizing and forfeiting of illegally traded CITES regulated material.

The appendixes provide supplemental information that assists the CBP-AI and PPQ Officer manual users with supplemental information for carrying out specific duties.

The **Glossary** defines specialized words, abbreviations and acronyms, and other terms that are used in the identification of lumber which may be difficult or unfamiliar.

The **Index** contains topics and page numbers for quick reference.

### What the Manual Does Not Cover

The *CITES I-II-III Protected Timber Guidelines* manual **does not** cover the following:

- ◆ Information about medicinals and other derivatives that are intended for human consumption and derived from CITES Appendix I, Appendix II, or Appendix III timber species (see the "Miscellaneous and Processed Products" section of the *Non-Propagative Manual*)
- ◆ Information about woody species and species that simulate the growth habit of woody species (such as cycads and palms), that are used solely for medicinal or herbal medicines or used solely as horticultural specimens (see the "Miscellaneous and Processed Products" section of the *Non-Propagative Manual* or "Table 1: Regulated Propagative Material" of the *Port of Entry Manual* (M319.37))
- ◆ Port policies or port guidelines
- ◆ Wood identification detailed techniques (see the *CITES Identification Guide—Tropical Woods*)

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## Users

This manual is written for use by Bureau of Customs and Border Protection-Agriculture Inspection (CBP-AI), PPQ personnel, State cooperators, and collaborators at airports and maritime locations. The experience levels of users will vary, but the CBP-AI and PPQ officers have, at minimum, a working knowledge of using PPQ manuals to make regulatory decisions.

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## Related Documents

The regulatory authority for taking the actions listed in this manual is contained in the following Acts:

- ◆ Civil Asset Forfeiture Reform Act of 2000
- ◆ Endangered Species Act of 1973 (ESA)<sup>1</sup>

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<sup>1</sup> ESA authorizes the U.S. Government to enforce the Convention of International Trade in Endangered Species of Wild Fauna and Flora (CITES).

Authority for specific regulatory actions is contained in the Code of Federal Regulations (CFR) Titles 7 and 50, and the Homeland Security Act of 2002.

Title 7CFR contains the following parts:

- ◆ Part 355, for specifics on endangered species regulations concerning plants
- ◆ Part 356, for specifics on forfeiture procedures

Title 50CFR, Parts 1 to 199 contains the following parts for regulating endangered species.

- ◆ Part 17.12, Endangered and Threatened Plants
- ◆ Part 23, Endangered Species Convention
- ◆ Part 24, Importation and Exportation of Plants at Designated Ports

If you are interested in finding more information on specific regulations, then see the CFRs listed above, or see CITES for the text of the Convention and decisions and resolutions of the Conference of the Parties (all are used to make regulatory decisions), at the following URL:

<<http://www.CITES.org>>

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## Application

This manual contains the policy and guidelines for the tasks associated with regulating CITES Appendix I, Appendix II, and Appendix III timber species, and informs officers and their manager about how to perform various clearance tasks.

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## How to Use This Manual

Review the contents of this manual to get a feel for the scope of material covered. Glance through the section that you will be using, and familiarize yourself with the organization of the information. Use the table of contents which follows each tab to find the information you need.

### EXAMPLE





To find information on the species identified as CITES Appendices I, II, and III protected timber species, see [Step 1: Confirm Identity of the Timber or Articles](#) on **page 2-3**.

If the table of contents is **not** specific enough, then turn to the index to find the topic and its page number.

## How to Report Problems

Use **Table 1-1** to report suggestions, problems, situations, and disagreements which directly affect the contents of the *CITES I-II-III Protected Timber Guidelines* manual.

**TABLE 1-1 How to Report Problems with the Manual**

If you:	And the problems is:	Then:
Are <b>not</b> able to access the on-line manual		CONTACT the PPQ Manuals Unit John Patterson <john.l.patterson> @aphis.usda.gov or call 240-629-1934
Have a suggestion for improving the content of the manual		Contact the PPQ Manuals Unit, either Deborah Briggs @ <deborah.j.briggs@aphis.usda.gov> or John Patterson @ <john.l.patterson@aphis.usda.gov> or COMPLETE and MAIL the Comment Sheet (located at the back of the manual)
Have identified a problem with the content of the manual	<b>Not</b> urgent	CALL the Manuals Unit, either Deborah Briggs 240/629-1928 or John Patterson at 240/629-1934
	Urgent	
Have a situation that requires an immediate response regarding a procedure or regulatory action		CONTACT your PPQ regional botanist  (CBP contact a PPQ regional botanist through proper channels)
Disagree with a policy, procedure, or regulatory action identified in the manual		

## Conventions

The conventions<sup>2</sup> used in this manual are established by custom and are widely recognized and accepted.

### Advisories

Advisories are used throughout the manual to bring important information to your attention. Please carefully review each advisory. The definitions have been updated so that they coincide with American National Standards Institute (ANSI), and are in the format shown below.



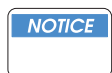
DANGER indicates that people could **easily** be hurt or killed.



WARNING indicates that people could **possibly** be hurt or killed.



CAUTION indicates that people could possibly be endangered or slightly hurt.



NOTICE indicates a possibly dangerous situation where goods might be damaged.



IMPORTANT indicates helpful information.

### Boldface

Boldfaced type is used to highlight negative or important words throughout this manual. These words are: **always, cannot do not, does not, except, must, never, no, not, only, other than.**

### Bullets

Bulleted lists indicate that there is **no** order to the information listed.

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<sup>2</sup> In this context, conventions means the devices and techniques used in the manual and **not** the Convention of International Trade in International Trade of Wild Fauna and Flora (CITES).

## Chapters

This manual contains the following chapters: *Introduction*, *Importation of CITES Protected Timber*, *Re-exportation of CITES Protected Timber*, and *Forfeiture of CITES Protected Timber*. The manual also contains appendices, a glossary, and an index.

## Contents

Every chapter has a table of contents at the beginning that lists the heading titles within.

## Control Data

Information placed at the top and bottom of each page helps users keep track of where they are in the manual and updates to the manual. At the top of each page is the chapter and first-level heading. At the bottom of each page is the month, year, manual transmittal number, title, page number, and unit responsible for content.

## Decision Tables

Decision tables are used throughout the manual. The first and middle columns in each table represent conditions, and the last column represents the action to take after all conditions listed for that row are considered. Begin with the column headings and move left-to-right, then continue one row at a time.

**TABLE 1-2 How to Use Decision Tables**

If you:	And:	Then:
Read this column first	Continue in this row	This is the action you should take
Read this column	This row cell	Take the action listed in this cell

## Examples

Examples are used to clarify a point by applying a real-world situation.

### EXAMPLE

Examples are graphically placed boxes within the text as a means of visually separating from other information on the page. Examples **always** appear in a box like this.

## Footnotes

Footnotes comment on or cite a reference to text and are referenced by number. Two types of footnotes are used in this manual: general text footnotes and table or figure footnotes.

General text footnotes are located at the bottom of the page and are consecutively numbered throughout the manual.

Table and Figure footnotes are located at the bottom of the associated single-page table or figure when space allows. However, for multi-page tables or tables that cover the length of a page, footnote numbers and footnote text **cannot** be listed on the same page. To locate footnote text, be sure to check the last page and the page following the end of the associated table or figure.

### Heading Levels

Within each chapter there are three headings levels. The first heading is indicated by a horizontal line followed by the title which continues across both the left and right columns. The second heading is in the right-hand column with the text beginning below it. The third heading is in the left-hand margin and is used to easily scan topics.

### Highlighting and Hypertext Links

When tables, figures, or other headings are cross-referenced in the body of the manual, they are emphasized in boldface and highlighted. Headings and titles are also italicized. These appear in blue hypertext in the on-line manual.

#### EXAMPLE

See [Figure 2-1 on page 2-2-3](#).

### Indentions

Entry requirements which are summarized from CFRs, permits, or policies are indented on the page.

### Italicized Brackets

When completing or reviewing certain certificates and forms, information that is to be entered, listed, or filled in is italicized and enclosed in brackets.

### Numbered Lists

Numbered lists are used to indicate the specific order in which the information listed is to be followed.

### Numbering Scheme

A two-level numbering scheme is used in this manual for pages, tables, and figures. The first number represents the chapter. The second number represents the page, table, or figure. This numbering scheme allows for easier updating and adding and removing pages without having to reprint an entire chapter. Dashes are used in page numbering to differentiate page numbers from decimal points.



# 2

CITES I-II-III Timber  
Manual

# Importation of CITES Protected Timber

## *Procedures*

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### Introduction

This chapter provides guidelines for handling the importation of CITES Appendix I, Appendix II, and Appendix III regulated timber species, as follows:

- ◆ Confirming that the commodity is in a form which is regulated
- ◆ Determining which permits and/or certificates are required
- ◆ Verifying that the documents are valid
- ◆ Inspecting the commodity to verify that the quantity in the shipment matches the quantity listed on the CITES document
- ◆ Instructing the user on how to validate a CITES document
- ◆ Distributing and filing the paperwork



Use these guidelines in conjunction with 7CFR 319.40 (see the "Wood and other Forest Products" section of your *Miscellaneous and Processed Products Manual*) and the Plant Protection Act. When applying these guidelines, first apply the regulations that prevent the entry of plant pests.

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## Preparation

As with other port documents, copies of CITES documents **must** also be filed in an organized, consistent manner. The CITES files and copies maintained at your port are important in case the originals become lost or destroyed. An accessible filing system will also enable you to comply with requests for information made by other government and non-government agencies and the general public through the Freedom of Information Act (FOIA).

### Filing System

If you already have a filing system for retaining CITES records in place at your port, please review these instructions to be sure your system is functional. If you **do not** have a filing system in place, then follow the instructions below.

To set up a filing system, do as follows:

1. Decide on the filing system that is most practical for your location. Select one of the following methods to keep the records complete and accessible:
  - ❖ File alphabetically by permittee's name
  - ❖ File chronologically by month and year
2. Select the documents to be filed. At a minimum, you **must** file the following in the order listed below:
  - ❖ CITES document (**must** be a validated copy)
  - ❖ Customs entry
  - ❖ Dimensional specification sheets (if applicable)
  - ❖ Invoice/packing list
  - ❖ Lading bills or airway bills
  - ❖ Phytosanitary Certificate (if required)

After you set up your filing system, you **must** maintain each file for a minimum of five years, counting from the date the importation occurred.

#### EXAMPLE

A file **must** be maintained until July 1, 2009 for an importation that occurred on July 1, 2004.

## Procedures

The procedures for handling the importation of CITES Appendix I, Appendix II, and Appendix III protected timber are summarized in [Figure 2-1](#).

1. Confirm that the commodity is CITES Appendix I, Appendix II, or Appendix III Protected Timber.
2. Determine if the form of the commodity imported is regulated by CITES.
3. Determine if you have the authority to validate the shipment.
4. Determine which CITES documents **must** accompany the shipment.
5. Collect all relevant documents associated with the importation.
6. Verify that the CITES document accompanying the importation is authentic and acceptable.
7. Verify that the USDA-issued General Permit (PPQ Form 622) has **not** expired.
8. Compare shipping documents with CITES documents to confirm quantities are authorized.
9. Inspect the shipment to make sure quantities are authorized.
10. If the shipment is in order, then endorse CITES documents.
11. Distribute and file the endorsed documents.

**FIGURE 2-1 Summary of Procedures for Handling the Importation of CITES Appendix I, Appendix II, and Appendix III Protected Timber**

Follow the steps below when handling the importation of CITES Appendix I, Appendix II, and Appendix III protected timber species used for lumber or other wood products.

### Step 1: Confirm Identity of the Timber or Articles

Currently, there are six CITES Appendix I taxa, nine Appendix II taxa (eight species and one genus), and six CITES Appendix III taxa (five species and one genus) used for lumber or other wood products. The most frequently used common names are shown beside the scientific names listed below. For a list of other common names, see [Figure 2-2](#).

## Appendix I

The CITES Appendix I protected species are as follows:

- ◆ *Abies guatemalensis* (Guatemalan fir)
- ◆ *Araucaria araucana* (monkey puzzle tree)
- ◆ *Dalbergia nigra* (Brazilian rosewood)
- ◆ *Fitzroya cupressoides* (alerce)
- ◆ *Pilgerodendron uviferum* (pilgerodendron)
- ◆ *Podocarpus parlatorei* (Palatore's podocarp)

## Appendix II

The CITES Appendix II protected species are as follows:

- ◆ *Caryocar costaricense* (ajillo)
- ◆ *Guaiacum* spp. (lignum vitae)
- ◆ *Oreomunnea pterocarpa* (gavilan)
- ◆ *Pericopsis elata* (afrormosia)
- ◆ *Platymiscium pleiostachyum* (cristobal, granadillo)
- ◆ *Pterocarpus santalinus* (red sandalwood, red sanders)
- ◆ *Swietenia humilis* (Pacific Coast mahogany)
- ◆ *Swietenia macrophylla* (bigleaf mahogany)



On November 15, 2003, *Swietenia macrophylla* moved from Appendix III to Appendix II. Therefore, on or after this date any shipment of logs, lumber, manufactured plywood, or veneer of this species exported to the United States **must** be accompanied by a CITES Appendix II Export Permit. **Do not** accept a CITES Appendix III Export Permit or Certificate of Origin.

- ◆ *Swietenia mahogani* (Caribbean mahogany)

## Appendix III

The CITES Appendix III protected species are as follows:

- ◆ *Cedrela odorata* (Spanish cedar)
- ◆ *Dipteryx panamensis* (almendro)
- ◆ *Gonystylus* spp. (ramin)



As of January 12, 2005, *Gonystylus* spp. (ramin) moves from Appendix III to Appendix II. Therefore, on or after this date any shipment containing ramin wood (including all wood products) exported or re-exported to the United States **must** be accompanied by a CITES Appendix II Export Permit or Re-export Certificate. **Do not** accept a CITES Appendix III Export Permit, Re-export Certificate, or Certificate of Origin for *Gonystylus* spp. (ramin) shipments exported or re-exported on or after January 12, 2005.

- ◆ *Magnolia liliifera* var. obovata
- ◆ *Podocarpus nerifolius* (podocarp)
- ◆ *Tetracentron sinense* (tetracentron)

To confirm that the importation is of a CITES Appendix I, Appendix II, or Appendix III timber species, review the shipping documents. Regulations require CITES plants be identified to their genus and species by one of the following:

- ◆ Label
- ◆ Invoice, or packing list, or tag
- ◆ Other document accompanying the shipment

For a complete list of flora regulated by CITES, first see the CITES Appendices available at the following URL:

<<http://www.CITES.org/eng/append/index.shtml>>

CITES protected timber may be manifested or invoiced by a trade name or a local name. If you are given a common name that you **do not** recognize or is **not** listed in [Figure 2-2](#), and you want to confirm the scientific name of what is imported or you want to determine whether the wood is listed as protected, then go to the following URL to access the CITES Web site:

<<http://www.CITES.org/Eng/resources/species.html>>



The CITES Web site listed above **does not** include all common names for CITES-regulated species. The importer or the importer's agent is responsible for providing you with the scientific name of the timber species traded.

### CITES Listed Species Database

Follow these steps to use the CITES-listed species database:

1. In the left column of the screen, click "Common name" and "Find it".
2. Enter the common name (faster search) or part of the name (slower search).
3. At "Select a language," select "All" (default).
4. At "Select a country," select "All" (default).
5. Click on the "Display details" button.

For timber species commodity recognition and a synopsis of wood identification, see [Appendix F](#) on **page F-1**. For detailed instructions on how to identify wood of CITES regulated species, see the *CITES Identification Guide—Tropical Woods* at the following URL:

<[http://www.cws-scf.ec.gc.ca/enforce/pdf/Wood/Cites\\_Wood\\_Guide.pdf](http://www.cws-scf.ec.gc.ca/enforce/pdf/Wood/Cites_Wood_Guide.pdf)>

Scientific Name	Common Name	Other Common Names
<i>Abies guatemalensis</i>	Guatemalan fir	Abeto mexicano, guayami, Mexican fir, pinabete, plumajatzin, plumajillo de montaña, sapin de Guatemala
<i>Araucaria araucana</i>	Monkey puzzle tree	Apeboom, araucaria du Chile, Chilean pine, chilensk tall, Chili pine, Chili tall, Chile pine, parana pine, pehuen, pilon, pin du Chili, pino, pino araucaria, pino de Chile, pino de Neuquén, pino de Paraná, piñonero, piñón, sapin du Chili
<i>Caryocar costaricense</i>	Ajillo	Aji, ajo, almendrillo, almendro, almendro de bajo, almendron, cagui, firme, genenè, manu, maqui-maqui cagui, pequia, pequia brava, pete rana do terra firme, petè, pete-rana, plomillo, rana do terra, swari
<i>Cedrela odorata</i>	Spanish cedar	Acajou rouge, akuyari, atoreb, Barbados cedar, Brazilian cedar, British Guiana cedar, British Honduras cedar, cedar, cèdra acajou, cèdre des barbaies, cèdre rouge, cedrela, cedrela wood, cedro, cedro chino, cedro colorado, cedro hembra, cedro macho, cedro obscuro, cedro real, cedro red, cedro rojo, Central American cedar, chujte, cigar-box cedar, cigarbox cedar, Colorado cedro, Cuban cedar, epi, Hondouras cedar, icte, Jamaican cedar, Kalantas, Kapere, Koperi, Kurama, Kurana, Mexican cedar, Nicaraguan cedar, parank, paranka, red cedar, rojas cedar, rosas cedar, South American cedar, Tabasco cedar, tiocuahuatl, Trinidad cedar, Wesindische zedar, West Indian cedar
<i>Dalbergia nigra</i>	Brazilian rosewood	Babia rosewood, bahia rosewood, caa-biuna, cabeuna, cabiuna, cabiuna do mato, cabiuna rajada, comore, camboriuna, caviuna, jacaranda, jacarada cabiuna, jacaranda de Brasil, jacaranda wood, jacaranda-da-bahia, jacaranda-preto, jacaranda-rajado, jacaranda-roxo, jacarandaholz, jacaradanda de Brasil, legno di jacaranda, maera de palisandro, marnut, palisander, Rio rosewood
<i>Dipteryx panamensis</i>	Almendra	Almendra, almendra de montaña, amans, choiba, eboe, ibu, iqua, Indian almond, sarrapia, tonca, tonka bean, yapo

**FIGURE 2-2 List of Common Names for CITES Appendix I, Appendix II, and Appendix III Timber Species**

Scientific Name	Common Name	Other Common Names
<i>Fitzroya cupressoides</i>	Alerce	Alerzholz, fitzroy cypress, lahuan, patagonian cypress
<i>Gonystylus</i> spp.	Ramin	Ampudji, gaharu, gaheu, gara buaja, kaya garu, lanutanbagio, medang keran, melawis, ramin telur, sang su, seriangun
<i>Guaiacum</i> spp.	Lignum vitae	Guayacan, palo santo
<i>Magnolia liliifera</i> var. obovata	Magnolia	Balukhat, baranthuri, boramthuri, champak, giogi, harré, safan, siffo, taungme
<i>Oreomunnea pterocarpa</i>	Gavilan	Campana, engelhardia pterocarpa, gavián blanco
<i>Pericopsis elata</i>	Afrormosia	Anyeran, asamela, assamela, assemela, awawai, ayin, baracara, benin satinwood, bohala, bohalala, bonsamdua, devils tree, egbi, ejen, golden afrormosia, iatobahy do igapo, kokriki, kokrodua, liguminosae, mekoe, mohole. obang, ole, olel pardo, peonio, redbark, satinwood, tento, wahala, yellow satinwood
<i>Pilgerodendron uviferum</i>	Pilgerodendron	Chilean cedar, ciprés, ciprés de Chile, ciprés de Cordillera, ciprés de las Islas Len, cipresso del Cile, cyprès du Chili, lahuan, lanutanbagio, libocedri dell'america meridion, patagonian cypress, patagonian pilgerodendron, ten, thuja tetragona,
<i>Platymiscium pleiostachym</i>	Cristobal graradillo	Cachimbo, cristóbal, ñambar, roble colorado
<i>Podocarpus neriifolius</i>	Podocarp	Amanu, black pine, brown pine, bukiti, jati bukit
<i>Podocarpus parlatorei</i>	Parlatore's podocarp	Pino blanco, pino del cerro, pino montano
<i>Pterocarpus santalinus</i>	Red sandalwood, Redsanders	Atti, chandanam, chandanum, honne
<i>Swietenia humilis</i>	Pacific Coast mahogany	Caoba, mabu, Pacific mahogany
<i>Swietenia macrophylla</i>	Bigleaf mahogany	Acajou, acajou Amerique, acajou d'Amerique, acajou du Honduras, Adoa, aguano, American mahogany, Americkaans mahonie, Amerikanns mahonie, ara putange, araputanga, bastard lime, bay-mahogany, baywood, belize mahogany, caôba, Honduras mahogany, mara, mogno

**FIGURE 2-2 List of Common Names for CITES Appendix I, Appendix II, and Appendix III Timber Species (continued)**

Scientific Name	Common Name	Other Common Names
<i>Swietenia mahogani</i>	Caribbean mahogany	Acajou, acajou de Cuba, acajou de Saint Domingue, acajou de St. Domingue, acajou des Antilles, aguano, antillen mahogani, bay mahogany, caoba, caoba de santo domingo, caoba dominicana, caobilla, chiculte, cobano, Cuban mahogany, curlet mahogany, Dominican mahogany, echites mahagoni, gateado, Jamaica mahogany, Kuba mahogany, maderia, mahagoni, mahog, mahogany, mahogany du pays, mahogany petites feuilles, mahok, mahoni, mongo, orura, small-leaf mahogany, West Indian mahogany, West Indies mahogany
<i>Tetracentron sinense</i>	Tetracentron	Shui quing shu

**FIGURE 2-2 List of Common Names for CITES Appendix I, Appendix II, and Appendix III Timber Species (continued)**



## Step 2: Confirm that the Article Being Imported Is Protected

CITES annotates some of the listed timber species to include or exclude certain parts and derivatives. To confirm that the listed article being imported is protected by CITES Appendix I, Appendix II, or Appendix III, inspect the consignment to verify the description of the commodity on the accompanying shipping documents. Then continue, using [Table 2-1](#).



**Important**

Other woody species and species that simulate the growth characteristics of woody species (such as cycads and palms), used solely for medicinal/herbal medicines or as horticultural specimens are **not** covered in this manual. See the “Miscellaneous and Processed Products” section of the *Non-Propagative Manual* or “Table 1: Regulated Propagative Material” of the *Port of Entry Manual* (M319.37).

**TABLE 2-1 Determine if a Timber Species Is Protected by CITES Appendix I, Appendix II, or Appendix III**

If the timber species is:	And the country of origin is:	And the parts or derivatives being imported are:	Then:
<i>Abies guatemalensis</i> (Guatemalan fir)	Any country	All parts and derivatives, including manufactured and finished products <sup>1</sup>	The article is <b>CITES Appendix I</b> regulated GO to <a href="#">Step 3: Determine Your Authority</a> on <b>page 2-14</b>
<i>Araucaria araucana</i> (Monkey puzzle tree)	Any country	All parts and derivatives, including manufactured and finished products <sup>2</sup>	
<i>Caryocar costaricense</i> (ajillo)	Any country	All parts and derivatives, including manufactured and finished products <sup>3</sup>	The article is <b>CITES Appendix II</b> regulated GO to <a href="#">Step 3: Determine Your Authority</a> on <b>page 2-14</b>
<i>Cedrela odorata</i> (Spanish cedar)	Colombia or Peru (includes articles originating in Columbia or Peru that were re-exported from another country)	<ul style="list-style-type: none"> <li>◆ Logs<sup>4</sup></li> <li>◆ Lumber<sup>5</sup></li> <li>◆ Veneer<sup>6</sup></li> </ul>	The article is <b>CITES Appendix III</b> regulated GO to <a href="#">Step 3: Determine Your Authority</a> on <b>page 2-14</b>
		<b>Other than</b> logs, lumber, or veneer	The article is <b>not</b> regulated by CITES EXIT this manual
	<b>Other than</b> Columbia or Peru	→	The article is <b>not</b> regulated by CITES EXIT this manual

**TABLE 2-1 Determine if a Timber Species Is Protected by CITES Appendix I, Appendix II, or Appendix III (continued)**

If the timber species is:	And the country of origin is:	And the parts or derivatives being imported are:	Then:
<i>Dalbergia nigra</i> (Brazilian rosewood)	Any country	All parts and derivatives, including manufactured and finished products <sup>7</sup>	The article is <b>CITES Appendix I</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 2-14</b>
<i>Dipteryx panamensis</i> (almendro)	Any country	All parts and derivatives, including manufactured and finished products <sup>8</sup>	The article is <b>CITES Appendix III</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 2-14</b>
<i>Fitzroya cupressoides</i> (alerce)	Any country	All parts and derivatives, including manufactured and finished products <sup>9</sup>	The article is <b>CITES Appendix I</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 2-14</b>
<i>Gonystylus</i> spp. (ramin)	Any country	All parts and derivatives, including manufactured and finished products <sup>10</sup>	The article is <b>CITES Appendix III</b> regulated, but as of January 12, 2005, moves from Appendix III to Appendix II GO to <b>Step 3: Determine Your Authority</b> on <b>page 2-14</b>
<i>Guaiacum</i> spp. (lignum vitae)	Any country	All parts and derivatives, including manufactured and finished products <sup>11</sup>	The article is <b>CITES Appendix II</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 2-14</b>
<i>Magnolia liliifera</i> var. obovata	Any country	All parts and derivatives, including manufactured and finished products <sup>12</sup>	The article is <b>CITES Appendix III</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 2-14</b>
<i>Oreomunnea pterocarpa</i> (gavilan)	Any country	All parts and derivatives, including manufactured and finished products <sup>13</sup>	The article is <b>CITES Appendix II</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 2-14</b>

**TABLE 2-1 Determine if a Timber Species Is Protected by CITES Appendix I, Appendix II, or Appendix III (continued)**

If the timber species is:	And the country of origin is:	And the parts or derivatives being imported are:	Then:
<i>Pericopsis elata</i> (afroformosia)	Any country	<ul style="list-style-type: none"> <li>◆ Logs<sup>4</sup></li> <li>◆ Lumber<sup>5</sup></li> <li>◆ Veneer<sup>6</sup></li> </ul>	The article is <b>CITES Appendix II</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 2-14</b>
		<b>Other than</b> logs, lumber, or veneer	The article is <b>not</b> regulated by CITES EXIT this manual
<i>Pilgerodendron uviferum</i> (pilgerodendron)	Any country	All parts and derivatives, including manufactured and finished products <sup>14</sup>	The article is <b>CITES Appendix I</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 2-14</b>
<i>Platymiscium pleiostachyum</i> (crisobal graradillo)	Any country	All parts and derivatives, including manufactured and finished products <sup>15</sup>	The article is <b>CITES Appendix II</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 2-14</b>
<i>Podocarpus neriifolius</i> (podocarp)	Any country	All parts and derivatives, including manufactured and finished products <sup>16</sup>	The article is <b>CITES Appendix III</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 2-14</b>
<i>Podocarpus parlatorei</i> (Parlatore's podocarp)	Any country	All parts and derivatives, including manufactured and finished products <sup>17</sup>	The article is <b>CITES Appendix I</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 2-14</b>
<i>Pterocarpus santalinus</i> (red sandalwood, redsanders)	Any country	<ul style="list-style-type: none"> <li>◆ Logs<sup>4</sup></li> <li>◆ Unprocessed broken material</li> <li>◆ Wood chips</li> </ul>	The article is <b>CITES Appendix II</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 2-14</b>
		<b>Other than</b> logs, unprocessed broken material, or wood chips	The article is <b>not</b> regulated by CITES EXIT this manual
<i>Swietenia humilis</i> (Pacific coast mahogany)	Any country	All parts and derivatives, including manufactured and finished products <sup>18</sup>	The article is <b>CITES Appendix II</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 2-14</b>

**TABLE 2-1 Determine if a Timber Species Is Protected by CITES Appendix I, Appendix II, or Appendix III (continued)**

If the timber species is:	And the country of origin is:	And the parts or derivatives being imported are:	Then:
<i>Swietenia macrophylla</i> (bigleaf mahogany)	The Americas <sup>19</sup> (includes articles originating in The Americas that were re-exported from another country)	<ul style="list-style-type: none"> <li>◆ Logs<sup>4</sup></li> <li>◆ Lumber<sup>5</sup></li> <li>◆ Plywood<sup>20</sup></li> <li>◆ Veneer<sup>6</sup></li> </ul>	The article is <b>CITES Appendix II</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 2-14</b>
		<b>Other than</b> logs, lumber, plywood, or veneer	This article is <b>not</b> regulated by CITES EXIT this manual
	<b>Other than</b> The Americas	→	This article is <b>not</b> regulated by CITES EXIT this manual
<i>Swietenia mahogani</i> (Caribbean mahogany)	Any country	<ul style="list-style-type: none"> <li>◆ Logs<sup>4</sup></li> <li>◆ Lumber<sup>5</sup></li> <li>◆ Veneer<sup>6</sup></li> </ul>	The article is <b>CITES Appendix II</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 2-14</b>
		<b>Other than</b> logs, lumber, or veneer	The article is <b>not</b> regulated by CITES EXIT this manual
<i>Tetracentron sinense</i> (tetracentron)	Any country	All parts and derivatives, including manufactured and finished products <sup>21</sup>	The article is <b>CITES Appendix III</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 2-14</b>

- 1 Includes building material, cabinetmaking material, charcoal, firewood, flooring, food containers, fuel wood, furniture, joinery, light construction material, matches, particleboard, plywood, pulp/paper products, roof shingles, and veneer.
- 2 Includes construction material, flooring, furniture, joinery, plywood, pulp railroad ties, and vehicle parts.
- 3 Includes railroad ties.
- 4 All wood in the rough whether or **not** stripped of bark or sapwood, or roughly squared for processing, notably into sawn wood, pulpwood, or veneer sheets (HS Code 44.03). See **Appendix E, Harmonized System of World Customs Organization (HS) Codes**.
- 5 Wood simply sawn lengthwise or produced by a profile-chipping process; normally exceeds 6mm in thickness (HS Code 44.06, HS Code 44.07). See **Appendix E**.
- 6 Thin layers or sheets of wood of uniform thickness, usually 6mm or less, usually peeled or sliced for use in making plywood, for veneering furniture, veneer containers, etc. (HS Code 44.08). See **Appendix E**.

- 7 Includes bedroom furniture, billiard-cue butts, boat building (general), bobbins, boxes and crates, brush backs and handles, cabinetmaking material, chairs, chests, decorative plywood and musical instruments (especially guitars) and parts of musical instruments (sides and backs) for the manufacturer; and veneer.
- 8 Includes agricultural implements, bearings and bushings, barge and dock fenders, boat construction articles, chemical derivatives, cogs and shafts, cross ties, fishing rods, flooring, furniture, heavy construction and pulp mill equipment, railroad ties, sporting goods, tool handles, turnery, and veneer.
- 9 Includes agricultural implements, boat building materials (general), boat masts, boxes and crates, cabinetmaking materials, carvings, cigar boxes, construction materials, cooperages, flooring, food containers, fuel wood, furniture, furniture components, joinery, mathematical instruments, mine timbers, musical instruments, particleboard, pencil, piling, plywood, poles, pulp/paper products, shakes, shingles, sporting goods, toys, and vats.
- 10 Includes brush backs, building materials, ceilings, counter tops, door frames, dowels, flooring, furniture, joinery, mouldings, nonstriking handles (such as brooms and umbrellas), paneling, picture frames, plywood, pool cues and racks, rulers, shoji screens, stair treads, stringers, tool handles, toys, trays, tripods, turnery, venetian blinds, window blinds, and window frames.
- 11 Includes bearings and bushings, boat building materials (general), brush backs and handles, bush blocks, farm vehicles, furniture, golf club heads, machinery parts, marine construction material, mathematical instruments, naval architecture, pulley sheaves, railroad ties, shade rollers, sporting goods, tables, textile equipment, turnery, and wheels.
- 12 Trade in this species is rare. If you encounter a regulated article made of this species, then contact the Manuals Unit to add the article to this list.
- 13 Includes a variety of uses within the species' natural range. If you encounter a regulated article made of this species, then contact the Manuals Unit to add the article to this list.
- 14 Includes flooring, furniture, posts, and timber. (Wood is noted for its longevity in moist environments.)
- 15 Includes furniture, musical instruments, timber, and veneer.
- 16 Trade in this species is rare. If you encounter a regulated article made of this species, then contact the Manuals Unit to add the article to this list.
- 17 Includes timber.
- 18 Includes timber.
- 19 The Americas include Central America, North America (includes Mexico **only**), and South America.
- 20 Consisting of three or more sheets of wood glued and pressed one on the other and generally disposed so that the grains of successive layers are at an angle (HS Code 44.12.13, HS Code 44.12.14, and HS Code 44.12.22). See [Appendix E](#).
- 21 Trade in this species is rare. If you encounter a regulated article that is **not** listed, then contact the Manuals Unit to add the article to this list.

### Step 3: Determine Your Authority

If you are **not** certain that your port is designated for the importation of CITES protected timber, then check to confirm at the following URL:

[<http://www.aphis.usda.gov/ppq/permits/cites/>](http://www.aphis.usda.gov/ppq/permits/cites/)

If you are located at a CITES designated port, then continue to **Step 4: Determine Which Documents Are Needed**.

If you are **not** located at a CITES-designated port, then have the owner or owner's agent arrange to move the shipment under Customs and Border Protection's (CBP) bond to a designated port (at the owner's expense). Notify the designated port of the pending arrival.

### Step 4: Determine Which Documents Are Needed

To determine which documents are needed for the legal importation of CITES protected timber, use the appropriate table as follows:

- ◆ CITES Appendix I, see [Table 2-2](#)
- ◆ CITES Appendix II, see [Table 2-3](#)
- ◆ CITES Appendix III, see [Table 2-4](#)



In addition to any import permits and documents listed as required in this manual, additional import permits and other documentation may also be required under 7 CFR 319.40.

### Required Documents for Importation of Appendix I Timber

The importation of a CITES Appendix I timber species is permitted when presented with appropriate CITES documentation for the following categories of trade:

- ◆ Articles derived from trees cut in the wild for non-commercial use (when presented a CITES Export Permit or Re-export Certificate and a CITES Import Permit)
- ◆ Articles derived from plantation grown trees (when presented a CITES Certificate of Artificial Propagation)
- ◆ Articles acquired prior to the date the Convention listed the species (when presented a CITES Certificate for Pre-Convention specimens)



Commercial trade in CITES Appendix I species originating from the wild is **prohibited**.

**TABLE 2-2 Determine Which Documents Are Needed for the Importation of CITES Appendix I Protected Timber Species**

If the article traded comes from:	And the country of origin is:	And the:	Then:
<ul style="list-style-type: none"> <li>◆ <i>Abies guatemalensis</i> (Guatemalan fir)</li> <li>◆ <i>Araucaria araucana</i> (monkey puzzle tree)</li> <li>◆ <i>Dalbergia nigra</i> (Brazilian rosewood)</li> <li>◆ <i>Fitzroya cupressoides</i> (alerce)</li> <li>◆ <i>Pilgerodendron uviferum</i> (pilgerodendron)</li> <li>◆ <i>Podocarpus parlatorei</i> (Parlatore's podocarp)</li> </ul>	Any country	<p>Permittee is engaged in commercial<sup>1</sup> business</p> <p>Permittee is <b>not</b> engaged in commercial business</p>	<p>REQUIRE <b>both</b> a USDA-issued General Permit, PPQ Form 622 <b>and one</b> of the following <b>CITES-issued original</b> documents:</p> <ul style="list-style-type: none"> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> </ul> <p>REQUIRE <b>both</b> of the following <b>CITES-issued original</b> documents:</p> <ul style="list-style-type: none"> <li>◆ Import Permit</li> <li>◆ Export Permit or Re-export Certificate</li> </ul> <p><b>OR</b></p> <p>REQUIRE <b>one</b> of the following <b>CITES-issued original</b> documents:</p> <ul style="list-style-type: none"> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> </ul>

1 Commercial trade in CITES Appendix I species originating in the wild is **prohibited**.

## Required Documents for Importations of Appendix II Timber

The importation of CITES Appendix II timber species is permitted when presented with the appropriate CITES documentation for the following categories of trade:

- ◆ Articles derived from trees cut in the wild (when presented a CITES Export Permit or Re-export Certificate)
- ◆ Articles derived from plantation grown trees (when presented a CITES Certificate of Artificial Propagation)
- ◆ Articles acquired prior to the date the CITES Convention listed the species (when presented a CITES Certificate for Pre-Convention specimens)

See [Table 2-3](#) below to determine which documents are required for the importation of CITES Appendix II timber species.

**TABLE 2-3 Determine Which Documents Are Needed for the Importation of CITES  
Appendix II Protected Timber Species**

If the article traded comes from:	And the country of origin is:	And the:	Then:
<ul style="list-style-type: none"> <li>◆ <i>Caryocar costaricense</i> (ajillo)</li> <li>◆ <i>Guaiaacum</i> spp. (lignum vitae)</li> <li>◆ <i>Oreomunnea pterocarpa</i> (gavilan)</li> <li>◆ <i>Pericopsis elata</i> (afromosia)</li> <li>◆ <i>Platymiscium pleiostachyum</i> (cristóbal, granadillo)</li> <li>◆ <i>Pterocarpus santalinus</i> (red sandalwood, redsanders)</li> <li>◆ <i>Swietenia humilis</i> (Pacific Coast mahogany)</li> </ul>	Any country	Permittee is engaged in commercial business	REQUIRE <b>both</b> a USDA-issued General Permit, PPQ Form 622 <b>and one</b> of the following <b>CITES-issued original</b> documents: <ul style="list-style-type: none"> <li>◆ Export Permit</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul>
		Permittee is <b>not</b> engaged in commercial business	REQUIRE <b>one</b> of the following <b>CITES-issued original</b> documents: <ul style="list-style-type: none"> <li>◆ Export Permit</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul>
<i>Swietenia macrophylla</i> <sup>1</sup> (bigleaf mahogany)	The Americas <sup>2</sup> (includes articles originating in The Americas that were re-exported from another country)	Permittee is engaged in commercial business	REQUIRE <b>both</b> a USDA-issued General Permit, PPQ Form 622, <b>and one</b> of the following <b>CITES-issued original</b> documents: <ul style="list-style-type: none"> <li>◆ Export Permit</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul>
		Permittee is <b>not</b> engaged in commercial business	REQUIRE <b>one</b> of the following <b>CITES-issued original</b> documents: <ul style="list-style-type: none"> <li>◆ Export Permit</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul>
	Other than The Americas <sup>1</sup>	→	ACCEPT <b>either</b> one: <ul style="list-style-type: none"> <li>◆ Generic Certificate of Origin</li> <li>◆ Other conclusive proof of origin</li> </ul>



**TABLE 2-3 Determine Which Documents Are Needed for the Importation of CITES  
Appendix II Protected Timber Species (continued)**

If the article traded comes from:	And the country of origin is:	And the:	Then:
<i>Swietenia mahogani</i> (Caribbean mahogany)	Any country	Permittee is engaged in commercial business	REQUIRE <b>both</b> a USDA-issued General Permit, PPQ Form 622, <b>and one</b> of the following <b>CITES-issued original</b> documents: <ul style="list-style-type: none"> <li>◆ Export Permit</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul>
		Permittee is <b>not</b> engaged in commercial business	REQUIRE <b>one</b> of the following <b>CITES-issued original</b> documents: <ul style="list-style-type: none"> <li>◆ Export Permit</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul>

- 1 Listed by the Convention to include the *Swietenia macrophylla* populations of The Americas **only**; therefore, *Swietenia macrophylla* trees cut in any country **other than** The Americas are **not** regulated by CITES.
- 2 The Americas include Central America, North America (includes Mexico **only**), and South America.


**Required  
Documents for  
Importation of  
Appendix III  
Timber**

The importation of CITES Appendix III timber species is permitted when presented with the appropriate documentation for the following categories of trade:

- ◆ Articles derived from trees cut in the wild originating from a country that included the species in Appendix III  
(when presented a CITES Export Permit or Re-export Certificate)
- ◆ Articles derived from trees cut in the wild originating from a country **other than** the country that included the species in Appendix III  
(when presented a CITES Certificate of Origin or Re-export Certificate)
- ◆ Articles derived from plantation grown trees  
(when presented a CITES Certificate of Artificial Propagation)
- ◆ Articles acquired prior to the date the CITES Convention listed the species  
(when presented a CITES Certificate for Pre-Convention specimens)

See [Table 2-4](#) to determine which documents are required for the importation of CITES Appendix III timber species.

**TABLE 2-4 Determine Which Documents Are Required for the Importation of CITES  
Appendix III Protected Timber Species**

If the timber species is:	And the country of origin is:	And the:	Then:
<i>Cedrela odorata</i> <sup>1</sup> (Spanish cedar)	Colombia or Peru (includes articles originating in Colombia or Peru that were re-exported from another country)	Permittee is engaged in commercial business	REQUIRE <b>both</b> a USDA-issued General Permit, PPQ Form 622, <b>and</b> one of the following <b>CITES-issued original</b> documents: <ul style="list-style-type: none"> <li>◆ Export Permit</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul>
		Permittee is <b>not</b> engaged in commercial business	REQUIRE <b>one</b> of the following <b>CITES-issued original</b> documents: <ul style="list-style-type: none"> <li>◆ Export Permit</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul>
	Other than Colombia or Peru		ACCEPT <b>either</b> one: <ul style="list-style-type: none"> <li>◆ Generic certificate of origin</li> <li>◆ Other conclusive proof of origin</li> </ul>


1 Listed on CITES Appendix III by Colombia for *Cedrela odorata* populations of Colombia **only**, and by Peru for *Cedrela odorata* populations of Peru **only**; therefore, *Cedrela odorata* trees cut in any country **other than** Colombia or Peru are **not** regulated by CITES.

**TABLE 2-4 Determine Which Documents Are Required for the Importation of CITES Appendix III Protected Timber Species (continued)**

If the timber species is:	And the country of origin is:	And the:	Then:
<i>Dipteryx panamensis</i> (almendro)	Costa Rica (includes articles originating in Costa Rica that were re-exported from another country)	Permittee is engaged in commercial business	REQUIRE <b>both</b> a USDA-issued General Permit, PPQ Form 622, <b>and one</b> of the following <b>CITES-issued original</b> documents: <ul style="list-style-type: none"> <li>◆ Export Permit</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul>
		Permittee is <b>not</b> engaged in commercial business	REQUIRE <b>one</b> of the following <b>CITES-issued original</b> documents: <ul style="list-style-type: none"> <li>◆ Export Permit</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul>
	<b>Other than</b> Costa Rica	Permittee is engaged in commercial business	REQUIRE <b>both</b> a USDA-issued General Permit, PPQ Form 622, <b>and one</b> of the following <b>CITES-issued original</b> documents: <ul style="list-style-type: none"> <li>◆ Certificate of Origin</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul>
		Permittee is <b>not</b> engaged in commercial business	REQUIRE <b>one</b> of the following <b>CITES-issued original</b> documents: <ul style="list-style-type: none"> <li>◆ Certificate of Origin</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul>

**TABLE 2-4 Determine Which Documents Are Required for the Importation of CITES Appendix III Protected Timber Species (continued)**

If the timber species is:	And the country of origin is:	And the:	Then:
<i>Gonystylus</i> spp. (ramin)	Indonesia (includes articles originating in Indonesia that were re-exported from another country)	Permittee is engaged in commercial business	REQUIRE <b>both</b> a USDA-issued General Permit, PPQ Form 622, <b>and</b> one of the following <b>CITES-issued original</b> documents: <ul style="list-style-type: none"><li>◆ Export Permit</li><li>◆ Certificate of Artificial Propagation (plantation grown)</li><li>◆ Pre-Convention Certificate</li><li>◆ Re-export Certificate</li></ul> See important advisory below
		Permittee is <b>not</b> engaged in commercial business	REQUIRE <b>one</b> of the following <b>CITES-issued original</b> documents: <ul style="list-style-type: none"><li>◆ Export Permit</li><li>◆ Certificate of Artificial Propagation (plantation grown)</li><li>◆ Pre-Convention Certificate</li><li>◆ Re-export Certificate</li></ul>
	<b>Other than</b> Indonesia	Permittee is engaged in commercial business	REQUIRE <b>both</b> a USDA-issued General Permit, PPQ Form 622, <b>and</b> one of the following <b>CITES-issued original</b> documents: <ul style="list-style-type: none"><li>◆ Certificate of Origin</li><li>◆ Certificate of Artificial Propagation (plantation grown)</li><li>◆ Pre-Convention Certificate</li><li>◆ Re-export Certificate</li></ul>
		Permittee is <b>not</b> engaged in commercial business	REQUIRE <b>one</b> of the following <b>CITES-issued original</b> documents: <ul style="list-style-type: none"><li>◆ Certificate of Origin</li><li>◆ Certificate of Artificial Propagation (plantation grown)</li><li>◆ Pre-Convention Certificate</li><li>◆ Re-export Certificate</li></ul>



**Important**

As of January 12, 2005, *Gonystylus* spp. (ramin) moves from Appendix III to Appendix II. Therefore, on or after this date any shipment containing ramin wood (including all wood products) exported or re-exported to the United States **must** be accompanied by a CITES Appendix II Export Permit or Re-export Certificate. **Do not** accept a CITES Appendix III Export Permit, Re-export Certificate, or Certificate of Origin for *Gonystylus* spp. (ramin) shipments exported or re-exported on or after January 12, 2005.

**TABLE 2-4 Determine Which Documents Are Required for the Importation of CITES Appendix III Protected Timber Species (continued)**

If the timber species is:	And the country of origin is:	And the:	Then:
<ul style="list-style-type: none"> <li>◆ <i>Magnolia liliifera</i> var. obovata</li> <li>◆ <i>Podocarpus neriifolius</i> (podocarp)</li> <li>◆ <i>Tetracentron sinense</i> (Tetracentron)</li> </ul>	Nepal (includes articles originating in Nepal that were re-exported from another country)	Permittee is engaged in commercial business	REQUIRE <b>both</b> a USDA-issued General Permit, PPQ Form 622 <b>and one</b> of the following <b>CITES-issued original</b> documents: <ul style="list-style-type: none"> <li>◆ Export Permit</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul>
		Permittee is <b>not</b> engaged in commercial business	REQUIRE <b>one</b> of the following <b>CITES-issued original</b> documents: <ul style="list-style-type: none"> <li>◆ Export Permit</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul>
	Other than Nepal	Permittee is engaged in commercial business	REQUIRE <b>both</b> a USDA-issued General Permit, PPQ Form 622 <b>and one</b> of the following <b>CITES-issued original</b> documents: <ul style="list-style-type: none"> <li>◆ Certificate of Origin</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul>
		Permittee is <b>not</b> engaged in commercial business	REQUIRE <b>one</b> of the following <b>CITES-issued original</b> documents: <ul style="list-style-type: none"> <li>◆ Certificate of Origin</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> <li>◆ Re-export Certificate</li> </ul>

**Timber for Importation that Has Been Re-exported from Another Country**

You may encounter CITES regulated timber species, or logs or articles made from protected timber species and offered for importation that have been re-exported from another country.

**EXAMPLE**

A shipment of Mexican lignum vitae (*Guaiaecum officinale*) lumber may be re-exported from Canada to the U.S. In this case, the shipment requires a CITES Re-export Certificate from the Canadian Management Authority.

**EXAMPLE**

A shipment of Peruvian Spanish cedar (*cedrela odorata*) lumber may be re-exported from Bolivia to the U.S. In this case, the shipment requires a CITES Re-export Certificate from the Bolivian Management Authority.

For such re-exported shipments, continue using these guidelines but verify the validity of the Re-export Certificate from the Management Authority in the country from which the shipment is being re-exported, rather than a CITES document from where the lumber was cut.

**Step 5: Collect Appropriate Documents Associated with the Shipment**

Collect the following documents associated with the shipment:

- ◆ Original CITES Export documents issued by the exporting country's CITES Management Authority
- ◆ USDA-issued PPQ Form 622, General Permit (GP) for importers engaged in the commercial trade of CITES listed plants (see [PPQ Form 622, General Permit](#) on page A-11 and [PPQ Form 621, Application for General Permit to Engage in Business of Importing, Exporting, or Re-exporting Terrestrial...](#) on page A-9)
  - ❖ If the importer **does not** have a permit, you may allow him or her to apply for one (see [Step 7: Ensure that the General Permit Has Not Expired](#) on page 2-26 and follow the directions for allowing the importer to renew an expired permit)
- ◆ Cargo paperwork associated with the shipment (such as bills of lading, airway bill, U.S. Customs entry, invoice, and dimensional specification sheets<sup>1</sup>)

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1 Dimensional specification sheets are used for articles that are imported in quantities expressed in cubic meters, square meters, or board feet, and inventory the size of each piece of lumber or veneer in each bundle shipped. Usually there will be more than one dimensional inventory sheet with each shipment.

### Step 6: Verify the CITES Document Is Authentic and Acceptable

Compare the CITES document accompanying the shipment to an official example of that country's document provided in [Appendix D](#) to verify that they match. If an example of a CITES document for a particular country is **not** provided, then see the [Standard CITES Form](#) on [page D-8](#), and pay close attention to the instructions for *Block 6* in [Table 2-5](#).



**Important**



**Do not** accept a CITES Permit or Certificate that is altered, modified, or crossed-out unless the modification or crossing out has been authenticated by the stamp and signature of the authority issuing the document.

If you are presented with an altered or questionable CITES document, then place the shipment on HOLD and contact a PPQ regional botanist through proper channels for assistance.

See the instructions in [Table 2-5](#) below to verify that the CITES document is valid. The table heading *Block No.* refers to the block location on a standard CITES form.



**TABLE 2-5 Instructions for CITES Document Verification**

Block No.		Instructions
1	Permit Number and Type of Document Issued	VERIFY the type of CITES document presented (Export Permit/Certificate, Certificate of Origin, Re-export Certificate, or Other) corresponds with the category of trade
2	Expiration Date	<p>VERIFY that the document has <b>not</b> expired</p> <div>  <p><b>Important</b></p> </div> <p>A CITES Certificate of Origin is valid for up to 12 months after the issuance date. A CITES Export Permit or Re-export Certificate is valid for up to 6 months after the issuance date. However, under specific circumstances detailed in <i>Conference Resolution 12.3</i> (see <a href="#">page B-4</a>), the CITES Management Authority can extend the expiration date of an Export Permit or Re-export Certificate.</p>
3 & 4	Name and Address of Importer and Exporter	<ol style="list-style-type: none"> <li>1. VERIFY that the name and address of the importer and exporter matches the information on the accompanying shipping documents</li> <li>2. VERIFY that the CITES document designates a U.S. consignee</li> <li>3. If you are presented with a CITES document addressed to a foreign company, then place the shipment on HOLD and CONTACT a PPQ regional botanist through proper channels</li> </ol> <div>  <p><b>Important</b></p> </div> <p>Although <i>Conference Resolution 12.3</i> (see <a href="#">page B-4</a>) accommodates for rerouting and a change of destination, this resolution is intended for the sale of logs, lumber, or veneer of CITES Appendix II or III timber species to a U.S. company while a shipment is in transit. The resolution <b>does not</b> apply to a U.S. company utilizing a CITES document issued to a foreign affiliate's address.</p>
5	Special Conditions	VERIFY that the shipment meets all special conditions placed on the shipment by the issuing Management Authority
6	Name and Address of the Issuing Management Authority	<ol style="list-style-type: none"> <li>1. CONFIRM by comparing to an example of that country's CITES document, the name and address on the document is the legitimate issuing authority (see <a href="#">Appendix D</a>)</li> <li>2. If the issuing authority's name and address <b>does not</b> match the example or a copy of a CITES document for the country is <b>not</b> provided, then GO to the CITES database for a list of names and addresses of all the Management Authorities at the following URL: &lt;<a href="http://www.cites.org/common/directy/e_directy.html">http://www.cites.org/common/directy/e_directy.html</a>&gt;</li> </ol>
7 & 8	Scientific name (genus and species) and common name	VERIFY by review of the shipping documents and later by inspection of the commodity, that the scientific name of the article matches what is being imported

**TABLE 2-5 Instructions for CITES Document Verification (continued)**

Block No.		Instructions
9	Description of the specimens	VERIFY by review of the shipping documents and later by inspection of the commodity, that the description of the article matches what is being imported
10	Appendix Number	VERIFY the CITES Appendix number (of the species being imported) listed and found in <a href="#">Table 2-1</a> agrees with the Appendix number listed on the CITES document
11	Quantity (including unit)	VERIFY the quantity entered agrees with the quantity declared on the accompanying shipping documents (see <a href="#">Step 8: Verify that Quantities Are Authorized</a> ) and by inspection of the commodity (see <a href="#">Step 9: Inspect the Shipment</a> )

If a CITES document is presented to you with incomplete or inaccurate information or the document has expired, then stop processing the importation. Place the shipment on HOLD and contact a PPQ regional botanist (through proper channels) for assistance.

If the CITES document is acceptable, then continue to [Step 7: Ensure that the General Permit Has Not Expired](#).

### **Step 7: Ensure that the General Permit Has Not Expired**

The USDA-issued PPQ Form 622, General Permit (GP) is valid for two years. Check the expiration date located in the bottom left-hand corner of the GP document. If the GP has expired, then have the importer reapply by completing an application (see [PPQ Form 621, Application for General Permit to Engage in Business of Importing, Exporting, or Re-exporting Terrestrial...](#) on page A-9).

### **Renewal of Expired General Permit**

Use the following procedures for having the importer renew the expired USDA-issued PPQ form 622, General Permit:

1. Call the Permit Unit at either 877/770-5990 (toll free number), or 301/734-8332. If using the toll free number, press '3' to reach the Plants Desk and ask for a General Permit (GP) number.
2. After you have been issued a GP number, write the GP number at the top of the application, PPQ Form 621, Application for General Permit to Engage in the Business of Importing Exporting, or Re-exporting Terrestrial Plants.
3. Have the importer complete the application. Collect a check from the importer for \$70, made payable to "Plant Protection and Quarantine".

4. Mail the completed PPQ Form 621 along with the check to the following address:

USDA-APHIS-PPQ  
PPQ Permit Unit  
4700 River Road, Unit 136  
Riverdale, MD 20737-1236

Once you are satisfied that the importer has submitted the required application and the fee, then continue to process the importation.

### Step 8: Verify that Quantities Are Authorized

Review the entry paperwork accompanying the shipment to verify the quantity being imported corresponds with the quantity authorized on the CITES document (see *Block 11* on the standard CITES form).

The unit of quantity used on a CITES document will vary according to the type of article. A list of commodities and the corresponding unit of measure or quantity as recommended by the Convention or commonly used on CITES documents follows in [Figure 2-3](#) below.

Commodity	Unit of Quantity
Dowels	Cubic meters (m <sup>3</sup> )
Logs	Cubic meters (m <sup>3</sup> )
Lumber	Cubic meters (m <sup>3</sup> ) or board feet (bf)
Miscellaneous (furniture, pool cues, tool handles, and other similar manufactured items)	Cubic meters (m <sup>3</sup> ), number (no.), or kilograms (kg)
Molding	Cubic meters (m <sup>3</sup> )
Musical instruments	Number (no.)
Plywood	Square meters (m <sup>2</sup> ) or cubic meters (m <sup>3</sup> )
Veneer	Square meters (m <sup>2</sup> ) or cubic meters (m <sup>3</sup> )

**FIGURE 2-3 List of Commodities and Corresponding Units of Measure**

For articles that are being imported in quantities recorded in units of cubic meters, square meters, or board feet, review the dimensional specification sheets or dimensional inventory tally sheets to more accurately determine the quantity shipped. To verify that the dimensional calculations on the entry papers equal the total quantity recorded on the CITES document, you may need to convert from one unit of quantity to another. See [Appendix C, Conversion Formulas](#).

Continue to [Step 9: Inspect the Shipment](#), to confirm the actual quantity shipped.

## Step 9: Inspect the Shipment

In addition to inspecting for plant pests, physically inspect the shipment to assess the actual quantity being imported. You may have to overcome the following difficulties in assessing the volume of material being shipped:

- ◆ Accessibility of containerized cargo
- ◆ Enormity of the shipment
- ◆ Identity of the pallets comprising the shipment
- ◆ Pallets of lumber of variable sizes

When the size of commercial shipments makes impossible the inspection of the entire consignment to assess the quantity, then review the invoice, packing list, or dimensional specification sheets accompanying the consignment to determine the quantity of a representative unit (such as box, bundle, carton, etc.) of the shipment. Continue to [Table 2-6](#) below.

**TABLE 2-6 Determine the Quantity of a Representative Unit for Inspection**

If:	Then:
Quantity recorded on the CITES document is by weight	VERIFY the weight of the unit you chose to inspect matches the unit's weight as listed on the invoice or packing list
Quantity recorded on the CITES document is by number of pieces	VERIFY the number of pieces in the unit you chose to inspect matches the unit's number of pieces as listed on the invoice or packing list
Quantity recorded on the CITES document is in cubic meters, square meters, or board feet	CONDUCT a dimensional piece count <sup>1</sup> to verify the quantity of the unit you chose to inspect matches the quantity listed for that unit on the invoice, packing list, or dimensional specification sheet
Your physical inspection finds quantities <b>do not</b> match those listed on the invoice, packing list, or dimensional specification sheet	CONTINUE the procedures listed above to determine the extent of the overage

- 1 To perform a dimensional piece count, you **must** measure the items in the inspectional unit either by length and width, or by length, width, and height (thickness) and then multiply the subtotal by the number of pieces in the unit to calculate the total quantity of the unit. See [Conversion Formulas](#) for assistance.

Continue to [Table 2-7](#) to determine the action to take based on your inspection.

**TABLE 2-7 Determine Action Based on Inspection Results**

If your inspection confirms:	Then:
Quantity is equal to or less than the quantity listed on the CITES documents	CONTINUE to <b>Step 10: Endorse Documents</b>
Quantity in excess of the quantity listed on the CITES document	Shipment is in violation of CITES Regulations and is subject to seizure and forfeiture
Unauthorized articles (CITES regulated articles that are <b>not</b> recorded on the CITES document)	<ol style="list-style-type: none"> <li>1. SEE <b>Violations, Seizures, and Forfeitures</b>, for forfeiture procedures and CONTACT a PPQ regional botanist (through proper channels) for assistance with forfeiture procedures</li> <li>2. In addition to seizure and forfeiture of the shipment, the importer may be subject to civil or criminal penalties. COMPLETE PPQ Form 518, Report of Violation, to document the violation and CONTACT a PPQ regional botanist (through proper channels) to report the violation</li> </ol>

### Step 10: Endorse Documents

If the shipment and permits comply with CITES and U.S. import regulations, then endorse the **original** CITES document. Use your DHS-BCBP-AI stamp (if available); if you **do not** have this stamp, then use the “USDA, APHIS, PPQ Release/Inspected and Released” stamp. **Sign** your name in ink, and write your badge number and the date. You **must** use an official stamp issued by our Agency. The stamp **must** bear the words, “USDA, APHIS. PPQ Release/Inspected and Released” and your port location.

In addition to the original CITES document, the importer or the importer’s agent **must** give you two photocopies of the original. **Never** accept a poor quality copy or facsimile. A legible copy of the original CITES document is crucial. The importer will need this document to prove that the timber or articles entered legally, if in the future the exporter should choose to re-export all or part of this shipment. Endorse the copies the same as you did on the original.



Being able to read the quantity on the endorsed copies is imperative. **Never** cover critical fields of the CITES document with the DHS-BCBP-AI or USDA RELEASED stamp.

## Step 11: Distribute CITES Documents

Distribute the CITES documents as follows:

- ◆ Forward the original, endorsed documents to the following office:

U.S. Fish and Wildlife Service  
Division of Management Authority  
4401 North Fairfax Drive, Room 700  
Arlington, VA 22203

- ◆ Return a legible, endorsed copy of the CITES documents to the importer or the importer's agent
- ◆ Keep a copy of the CITES documents and place in your port files (see [Preparation](#) on page 2-2)



Important

CITES files **must** be retained for five years. See [Filing System](#) on page 2-2 for directions to maintaining a CITES file.





# 3

CITES I-II-III Timber  
Manual

# Re-exportation of CITES Protected Timber

## *Procedures*

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### Introduction

This chapter provides the guidelines for handling the re-exportation of CITES Appendix I, Appendix II, and Appendix III regulated timber species, as follows:

- ◆ Confirming that the commodity being re-exported is in a form which is regulated
- ◆ Determining which permits and/or certificates are required for re-export

- ◆ Verifying that the documents are valid
- ◆ Inspecting the commodity to verify that the quantity in the re-export shipment matches the quantity listed on the CITES document
- ◆ Instructing the user on how to validate a CITES document
- ◆ Distributing and filing the paperwork

The CBP and PPQ Officers should use the guidelines in this chapter in conjunction with the phytosanitary requirements of the country of final destination. (See the *Export Certification Manual* and EXCERPT for these requirements.)



A Federal Phytosanitary Certificate for Re-export for CITES Appendix I, Appendix II, or Appendix III Protected Timber Species can **only** be issued at a designated port that is authorized to re-export CITES-regulated logs and lumber. Issuance of a Federal Phytosanitary Certificate for Re-export of CITES Appendix I, Appendix II, or Appendix III Protected Timber is contingent upon compliance with all CITES requirements. Issue a Federal Phytosanitary Certificate for Re-export **only** if all CITES entry requirements have been satisfied.

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## Preparation

As with other port documents, copies of CITES documents **must** also be filed in an organized, consistent manner. The CITES files and copies maintained at your port are important in case the originals become lost or destroyed. An accessible filing system will also enable you to comply with requests for information made by other government and non-government agencies, and the general public through the Freedom of Information Act (FOIA).

### Filing System

If you already have a filing system for retaining CITES records in place at your port, please review these instructions to be sure your system is functional. If you **do not** have a filing system in place, follow the instructions below.

To set up a filing system, do as follows:

1. Decide on the filing system that is most practical for your location. Select one of the following methods to keep the records complete and accessible:
  - ❖ File alphabetically by permittee's name
  - ❖ File chronologically by month and year

2. Select the documents to be filed. At a minimum, you **must** file the following in the order listed below:

- ❖ CITES document (**must** be a validated copy)
- ❖ Customs entry
- ❖ Dimensional specification sheets (if applicable)
- ❖ Invoice/packing list
- ❖ Lading bills or airway bills
- ❖ Phytosanitary Certificate (if required)

After you set up your filing system, you **must** maintain each file for a minimum of five years, counting from the date the importation occurred.

**EXAMPLE**

A file **must** be maintained until July 1, 2009 for an importation that occurred on July 1, 2004.

## Procedures

The procedures for handling the re-exportation of CITES Appendix I, Appendix II, and Appendix III protected timber are summarized below.

1. Confirm that the commodity is a CITES Appendix I, Appendix II, or Appendix III protected timber species.
2. Determine if the form of the commodity being re-exported is regulated by CITES.
3. Determine if you have the authority to validate the shipment for re-export.
4. Determine which CITES documents **must** accompany the shipment.
5. Collect all relevant documents associated with the re-exportation.
6. Verify that the CITES document accompanying the re-exportation is authentic and acceptable.
7. Verify that the USDA-issued General Permit has **not** expired.
8. Compare shipping documents with CITES documents to confirm quantities are authorized.
9. Inspect the shipment to make sure quantities are authorized.
10. If the shipment is in order, validate the CITES documents by stamp and endorsement.
11. Distribute and file the endorsed documents.

**FIGURE 3-1 Summary of Procedures for Handling Re-exportation of CITES Appendix I, Appendix II, and Appendix III Protected Timber**

Follow the steps below when handling the re-exportation of CITES Appendix I, Appendix II, and Appendix III protected timber species used for lumber or other wood products.

### Step 1: Confirm the Identity of Timber or Articles

Currently, there are six CITES Appendix I taxa, nine CITES Appendix II taxa (eight species and one genus), and six Appendix III taxa (five species and one genus) used for lumber or other wood products. The most frequently used common names are shown beside the scientific names that follow. For a list of other common names, see [Table 2-2 on page 2-2-6](#).

#### Appendix I Protected Timber Species

The CITES Appendix I protected species are as follows:

- ◆ *Abies guatemalensis* (Guatemalan fir)
- ◆ *Araucaria araucana* (monkey puzzle tree)
- ◆ *Dalbergia nigra* (Brazilian rosewood)
- ◆ *Fitzroya cupressoides* (alerce)
- ◆ *Pilgerodendron uviferum* (pilgerodendron)
- ◆ *Podocarpus parlatorei* (Palatore's podocarp)

#### Appendix II Protected Timber Species

The CITES Appendix II protected species or genera are as follows:

- ◆ *Caryocar costaricense* (ajillo)
- ◆ *Guaiacum* spp. (lignum vitae)
- ◆ *Oreomunnea pterocarpa* (gavilan)
- ◆ *Pericopsis elata* (afromosia)
- ◆ *Platymiscium pleiostachyum* (cristobal, granadillo)
- ◆ *Pterocarpus santalinus* (red sandalwood, red sanders)
- ◆ *Swietenia humilis* (Pacific Coast mahogany)
- ◆ *Swietenia macrophylla* (bigleaf mahogany)



As of November 15, 2003, *Swietenia macrophylla* moved from CITES Appendix III to Appendix II. Therefore, on or after this date any shipment of logs, lumber, manufactured plywood, or veneer of this species re-exported from the United States **must** be accompanied by a CITES Appendix II Re-export Certificate. **Do not** accept a CITES Appendix III Re-export Certificate. However, if the wood that is being re-exported legally entered the U.S. while an Appendix III listing, then you may continue to see a CITES Appendix III document (which was used to import the article), being utilized as an attachment to the CITES Appendix II Re-export Certificate.

- ◆ *Swietenia mahogani* (Caribbean mahogany)

### Appendix III Protected Timber Species

The CITES Appendix III protected species are as follows:

- ◆ *Cedrela odorata* (Spanish cedar)
- ◆ *Dipteryx panamensis* (almendro)
- ◆ *Gonystylus* spp. (ramin)



As of January 12, 2005, *Gonystylus* spp. (ramin) moves from Appendix III to Appendix II. Therefore, on or after this date any shipment containing ramin wood (including all wood products) re-exported from the United States **must** be accompanied by a CITES Appendix II Re-export Certificate. **Do not** accept a CITES Appendix III Re-export Certificate for *Gonystylus* spp. (ramin) shipments offered for re-export on or after January 12, 2005.

- ◆ *Magnolia liliifera* var. *obovata*
- ◆ *Podocarpus nerifolius* (podocarp)
- ◆ *Tetracentron sinense* (tetracentron)

To confirm that the re-exportation is of a CITES Appendix I, Appendix II, or Appendix III timber species, review the shipping documents. Regulations require CITES plants be identified to their genus and species by one of the following:

- ◆ Label
- ◆ Invoice, or packing list, or tag
- ◆ Other document accompanying the shipment

For a complete list of flora regulated by CITES, first see the CITES Appendices available at the following URL:

<<http://www.CITES.org/eng/appen/idx.shtml>>

CITES protected timber may be manifested or invoiced by a trade name or a local name. If you are given a common name that you **do not** recognize or is **not** listed in [Figure 2-2](#), and you want to confirm the scientific name of what is re-exported or you want to determine whether the wood is listed as protected, then use the following URL to access the CITES Web site:

<<http://www.CITES.org/Eng/resources/species.html>>



The CITES Web site listed above **does not** include all common names for CITES-regulated species. The exporter or the exporter's agent is responsible for providing you with the scientific name of the timber species traded.

### CITES Listed Species Database

Follow the steps listed below to use the CITES-listed species database:

1. In the left column of the screen, click on "Common name" and "Find it."
2. Enter the common name (faster search), or enter part of the name (slower search).
3. At "Select a language," select "All" (default).
4. At "Select a country," select "All" (default).
5. Click on the "Display details" button.

For timber species commodity recognition and a synopsis of wood identification, see [Appendix F](#) on **page F-1**. For detailed instructions on how to identify wood of CITES regulated species, see the *CITES Identification Guide-Tropical Woods* at the following URL:

<[http://www.cws-scf.ec.gc.ca/enforce/pdf/wood/Cites\\_Wood\\_Guide.pdf](http://www.cws-scf.ec.gc.ca/enforce/pdf/wood/Cites_Wood_Guide.pdf)>

Scientific Name	Common Name	Other Common Names
<i>Abies guatemalensis</i>	Guatemalan fir	Abeto mexicano, guayami, Mexican fir, pinabete, plumajatzin, plumajillo de montaña, sapin de Guatemala
<i>Araucaria araucana</i>	Monkey puzzle tree	Apeboom, araucaria du Chile, Chilean pine, chilensk tall, Chili pine, Chili tall, Chile pine, parana pine, pehuen, pilon, pin du Chili, pino, pino araucaria, pino de Chile, pino de Neuquén, pino de Paraná, piñonero, piñón, sapin du Chili
<i>Caryocar costaricense</i>	Ajillo	Aji, ajo, almendrillo, almendro, almendro de bajo, almendron, cagui, firme, genenè, manu, maqui-maqui cagui, pequia, pequia brava, pete rana do terra firme, petè, pete-rana, plomillo, rana do terra, swari
<i>Cedrela odorata</i>	Spanish cedar	Acajou rouge, akuyari, atoreb, Barbados cedar, Brazilian cedar, British Guiana cedar, British Honduras cedar, cedar, cèdra acajou, cèdre des barbaies, cèdre rouge, cedrela, cedrela wood, cedro, cedro chino, cedro colorado, cedro hembra, cedro macho, cedro obscuro, cedro real, cedro red, cedro rojo, Central American cedar, chujte, cigar-box cedar, cigarbox cedar, Colorado cedro, Cuban cedar, epi, Hondouras cedar, icte, Jamaican cedar, Kalantas, Kapere, Koperi, Kurama, Kurana, Mexican cedar, Nicaraguan cedar, parank, paranka, red cedar, rojas cedar, rosas cedar, South American cedar, Tabasco cedar, tiocuahuitl, Trinidad cedar, Wesindische zedar, West Indian cedar
<i>Dalbergia nigra</i>	Brazilian rosewood	Babia rosewood, bahia rosewood, caa-biuna, cabeuna, cabiuna, cabiuna do mato, cabiuna rajada, comore, camboriuna, caviuna, jacaranda, jacarada cabiuna, jacaranda de Brasil, jacaranda wood, jacaranda-da-bahia, jacaranda-preto, jacaranda-rajado, jacaranda-roxo, jacarandaholz, jacaradanda de Brasil, legno di jacaranda, maera de palisandro, marnut, palisander, Rio rosewood
<i>Dipteryx panamensis</i>	Almendra	Almendra, almendra de montaña, amans, choiba, eboe, ìbu, iqua, Indian almond, sarrapia, tonca, tonka bean, yapo
<i>Fitzroya cupressoides</i>	Alerce	Alerzholz, fitzroy cypress, lahuan, patagonian cypress

**FIGURE 3-2 List of Common Names for CITES Appendix I, Appendix II, and Appendix III Timber Species**

Scientific Name	Common Name	Other Common Names
<i>Gonystylus</i> spp.	Ramin	Ampudji, gaharu, gaheu, gara buaja, kaya garu, lanutanbagio, medang keran, melawis, ramin telur, sang su, seriangun
<i>Guaiacum</i> spp.	Lignum vitae	Guayacan, palo santo
<i>Magnolia liliifera</i> var. obovata	Magnolia	Balukhat, baranthuri, boramthuri, champak, giogi, harré, safan, siffo, taungme
<i>Oreomunnea pterocarpa</i>	Gavilan	Campana, engelhardia pterocarpa, gavilán blanco
<i>Pericopsis elata</i>	Afrormosia	Anyeran, asamela, assamela, assemela, awawai, ayin, baracara, benin satinwood, bohala, bohalala, bonsamdua, devils tree, egbi, ejen, golden afrormosia, iatobahy do igapo, kokriki, kokrodua, liguminosae, mekoe, mohole. obang, ole, olel pardo, peonio, redbark, satinwood, tento, wahala, yellow satinwood
<i>Pilgerodendron uviferum</i>	Pilgerodendron	Chilean cedar, ciprés, ciprés de Chile, ciprés de Cordillera, ciprés de las Islas Len, cipresso del Cile, cyprès du Chili, lahuan, lanutanbagio, libocedri dell'america meridion, patagonian cypress, patagonian pilgerodendron, ten, thuja tetragona,
<i>Platymiscium pleiostachym</i>	Cristobal graradillo	Cachimbo, cristóbal, ñambar, roble colorado
<i>Podocarpus neriifolius</i>	Podocarp	Amanu, black pine, brown pine, bukiti, jati bukit
<i>Podocarpus parlatorei</i>	Parlatore's podocarp	Pino blanco, pino del cerro, pino montano
<i>Pterocarpus santalinus</i>	Red sandalwood, Redsanders	Atti, chandanam, chandanum, honne
<i>Swietenia humilis</i>	Pacific Coast mahogany	Caoba, mabu, Pacific mahogany
<i>Swietenia macrophylla</i>	Bigleaf mahogany	Acajou, acajou Amerique, acajou d'Amerique, acajou du Honduras, Adoa, aguano, American mahogany, Americkaans mahonie, Amerikanns mahonie, ara putange, araputanga, bastard lime, bay-mahogany, baywood, belize mahogany, caoba, Honduras mahogany, mara, mogno,

**FIGURE 3-2 List of Common Names for CITES Appendix I, Appendix II, and Appendix III Timber Species (continued)**



Scientific Name	Common Name	Other Common Names
<i>Swietenia mahogani</i>	Caribbean mahogany	Acajou, acajou de Cuba, acajou de Saint Domingue, acajou de St. Domingue, acajou des Antilles, aguano, antillen mahogani, bay mahogany, caoba, caoba de santo domingo, caoba dominicana, caobilla, chiculte, cobano, Cuban mahogany, curlet mahogany, Dominican mahogany, echites mahagoni, gateado, Jamaica mahogany, Kuba mahogany, maderia, mahagoni, mahog, mahogany, mahogany du pays, mahogany petites feuilles, mahok, mahoni, mongo, orura, small-leaf mahogany, West Indian mahogany, West Indies mahogany
<i>Tetracentron sinense</i>	Tetracentron	Shui quing shu

**FIGURE 3-2 List of Common Names for CITES Appendix I, Appendix II, and Appendix III Timber Species (continued)**

## Step 2: Confirm that the Article Being Re-exported Is Protected

CITES annotates some of the listed timber species to include or exclude certain parts and derivatives. To confirm that the listed article being re-exported is protected by CITES Appendix I, Appendix II, or Appendix III, inspect the consignment to verify that the description of the commodity on the accompanying shipping documents. Then continue to [Table 3-1](#).



**Important**

Other woody species and species that simulate the growth characteristics of woody species (such as cycads and palms), used solely for medicinal/herbal medicines or as horticultural specimens are **not** covered in this manual. See the “Miscellaneous and Processed Products” section of the *Non-Propagative Manual* or “Table 1: Regulated Propagative Material” of the *Port of Entry Manual* (M319.37).

**TABLE 3-1 Determine if a Timber Species Is Protected by CITES Appendix I, Appendix II, or Appendix III**

If the timber species is:	And the country of origin is:	And the parts or derivatives being re-exported are:	Then:
<i>Abies guatemalensis</i> (Guatemalan fir)	Any country	All parts and derivatives, including manufactured and finished products <sup>1</sup>	The article is <b>CITES Appendix I</b> regulated GO to <a href="#">Step 3: Determine Your Authority</a> on <b>page 3-15</b>
<i>Araucaria araucana</i> (Monkey puzzle tree)	Any country	All parts and derivatives, including manufactured and finished products <sup>2</sup>	
<i>Caryocar costaricense</i> (ajillo)	Any country	All parts and derivatives, including manufactured and finished products <sup>3</sup>	The article is <b>CITES Appendix II</b> regulated GO to <a href="#">Step 3: Determine Your Authority</a> on <b>page 3-15</b>
<i>Cedrela odorata</i> (Spanish cedar)	Colombia or Peru (includes articles originating in Columbia or Peru that were re-exported from another country)	<ul style="list-style-type: none"> <li>◆ Logs<sup>4</sup></li> <li>◆ Lumber<sup>5</sup></li> <li>◆ Veneer<sup>6</sup></li> </ul>	The article is <b>CITES Appendix III</b> regulated GO to <a href="#">Step 3: Determine Your Authority</a> on <b>page 3-15</b>
		<b>Other than</b> logs, lumber, or veneer	The article is <b>not</b> regulated by CITES EXIT this manual
	<b>Other than</b> Columbia or Peru	→	The article is <b>not</b> regulated by CITES EXIT this manual

**TABLE 3-1 Determine if a Timber Species Is Protected by CITES Appendix I, Appendix II, or Appendix III (continued)**

If the timber species is:	And the country of origin is:	And the parts or derivatives being re-exported are:	Then:
<i>Dalbergia nigra</i> (Brazilian rosewood)	Any country	All parts and derivatives, including manufactured and finished products <sup>7</sup>	The article is <b>CITES Appendix I</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 3-15</b>
<i>Dipteryx panamensis</i> (almendro)	Any country	All parts and derivatives, including manufactured and finished products <sup>8</sup>	The article is <b>CITES Appendix III</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 3-15</b>
<i>Fitzroya cupressoides</i> (alerce)	Any country	All parts and derivatives, including manufactured and finished products <sup>9</sup>	The article is <b>CITES Appendix I</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 3-15</b>
<i>Gonystylus</i> spp. (ramin)	Any country	All parts and derivatives, including manufactured and finished products <sup>10</sup>	The article is <b>CITES Appendix III</b> regulated, but as of January 12, 2005, will move from Appendix III to Appendix II GO to <b>Step 3: Determine Your Authority</b> on <b>page 3-15</b>
<i>Guaiacum</i> spp. (lignum vitae)	Any country	All parts and derivatives, including manufactured and finished products <sup>11</sup>	The article is <b>CITES Appendix II</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 3-15</b>
<i>Magnolia liliifera</i> var. obovata	Any country	All parts and derivatives, including manufactured and finished products <sup>12</sup>	The article is <b>CITES Appendix III</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 3-15</b>
<i>Oreomunnea pterocarpa</i> (gavilan)	Any country	All parts and derivatives, including manufactured and finished products <sup>13</sup>	The article is <b>CITES Appendix II</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 3-15</b>

**TABLE 3-1 Determine if a Timber Species Is Protected by CITES Appendix I, Appendix II, or Appendix III (continued)**

If the timber species is:	And the country of origin is:	And the parts or derivatives being re-exported are:	Then:
<i>Pericopsis elata</i> (afrormosia)	Any country	<ul style="list-style-type: none"> <li>◆ Logs<sup>4</sup></li> <li>◆ Lumber<sup>5</sup></li> <li>◆ Veneer<sup>6</sup></li> </ul>	The article is <b>CITES Appendix II</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 3-15</b>
		<b>Other than</b> logs, lumber, or veneer	The article is <b>not</b> regulated by CITES EXIT this manual
<i>Pilgerodendron uviferum</i> (pilgerodendron)	Any country	All parts and derivatives, including manufactured and finished products <sup>14</sup>	The article is <b>CITES Appendix I</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 3-15</b>
<i>Platymiscium pleiostachym</i> (cristobal graradillo)	Any country	All parts and derivatives, including manufactured and finished products <sup>15</sup>	The article is <b>CITES Appendix II</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 3-15</b>
<i>Podocarpus neriifolius</i> (podocarp)	Any country	All parts and derivatives, including manufactured and finished products <sup>16</sup>	The article is <b>CITES Appendix III</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 3-15</b>
<i>Podocarpus parlatorei</i> (Parlatore's podocarp)	Any country	All parts and derivatives, including manufactured and finished products <sup>17</sup>	The article is <b>CITES Appendix I</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 3-15</b>
<i>Pterocarpus santalinus</i> (red sandalwood, redsanders)	Any country	<ul style="list-style-type: none"> <li>◆ Logs<sup>4</sup></li> <li>◆ Unprocessed broken material</li> <li>◆ Wood chips</li> </ul>	The article is <b>CITES Appendix II</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 3-15</b>
		<b>Other than</b> logs, unprocessed broken material, or wood chips	The article is <b>not</b> regulated by CITES EXIT this manual
<i>Swietenia humilis</i> (Pacific coast mahogany)	Any country	All parts and derivatives, including manufactured and finished products <sup>18</sup>	The article is <b>CITES Appendix II</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 3-15</b>

**TABLE 3-1 Determine if a Timber Species Is Protected by CITES Appendix I, Appendix II, or Appendix III (continued)**

If the timber species is:	And the country of origin is:	And the parts or derivatives being re-exported are:	Then:
<i>Swietenia macrophylla</i> (bigleaf mahogany)	The Americas <sup>19</sup> (includes articles originating in The Americas that were re-exported from another country)	<ul style="list-style-type: none"> <li>◆ Logs<sup>4</sup></li> <li>◆ Lumber<sup>5</sup></li> <li>◆ Plywood<sup>20</sup></li> <li>◆ Veneer<sup>6</sup></li> </ul>	The article is <b>CITES Appendix II</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 3-15</b>
		<b>Other than</b> logs, lumber, plywood, or veneer	This article is <b>not</b> regulated by CITES EXIT this manual
	<b>Other than</b> The Americas	→	This article is <b>not</b> regulated by CITES EXIT this manual
<i>Swietenia mahogani</i> (Caribbean mahogany)	Any country	<ul style="list-style-type: none"> <li>◆ Logs<sup>4</sup></li> <li>◆ Lumber<sup>5</sup></li> <li>◆ Veneer<sup>6</sup></li> </ul>	The article is <b>CITES Appendix II</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 3-15</b>
		<b>Other than</b> logs, lumber, or veneer	The article is <b>not</b> regulated by CITES EXIT this manual
<i>Tetracentron sinense</i> (tetracentron)	Any country	All parts and derivatives, including manufactured and finished products <sup>21</sup>	The article is <b>CITES Appendix III</b> regulated GO to <b>Step 3: Determine Your Authority</b> on <b>page 3-15</b>

- 1 Includes building material, cabinetmaking material, charcoal, firewood, flooring, food containers, fuel wood, furniture, joinery, light construction material, matches, particleboard, plywood, pulp/paper products, roof shingles, and veneer.
- 2 Includes construction material, flooring, furniture, joinery, plywood, pulp railroad ties, and vehicle parts.
- 3 Includes railroad ties.
- 4 All wood in the rough whether or **not** stripped of bark or sapwood, or roughly squared for processing, notably into sawn wood, pulpwood, or veneer sheets (HS Code 44.03). See **Appendix E, Harmonized System of World Customs Organization (HS) Codes**.
- 5 Wood simply sawn lengthwise or produced by a profile-chipping process; normally exceeds 6mm in thickness (HS Code 44.06, HS Code 44.07). See **Appendix E**.
- 6 Thin layers or sheets of wood of uniform thickness, usually 6mm or less, usually peeled or sliced for use in making plywood, for veneering furniture, veneer containers, etc. (HS Code 44.08). See **Appendix E**.

- 7 Includes bedroom furniture, billiard-cue butts, boat building (general), bobbins, boxes and crates, brush backs and handles, cabinetmaking material, chairs, chests, decorative plywood and musical instruments (especially guitars) and parts of musical instruments (sides and backs) for the manufacturer; and veneer.
- 8 Includes agricultural implements, bearings and bushings, barge and dock fenders, boat construction articles, chemical derivatives, cogs and shafts, cross ties, fishing rods, flooring, furniture, heavy construction and pulp mill equipment, railroad ties, sporting goods, tool handles, turnery, and veneer.
- 9 Includes agricultural implements, boat building materials (general), boat masts, boxes and crates, cabinetmaking materials, carvings, cigar boxes, construction materials, cooperages, flooring, food containers, fuel wood, furniture, furniture components, joinery, mathematical instruments, mine timbers, musical instruments, particleboard, pencil, piling, plywood, poles, pulp/paper products, shakes, shingles, sporting goods, toys, and vats.
- 10 Includes brush backs, building materials, ceilings, counter tops, door frames, dowels, flooring, furniture, joinery, mouldings, nonstriking handles (such as brooms and umbrellas), paneling, picture frames, plywood, pool cues and racks, rulers, shoji screens, stair treads, stringers, tool handles, toys, trays, tripods, turnery, venetian blinds, window blinds, and window frames.
- 11 Includes bearings and bushings, boat building materials (general), brush backs and handles, bush blocks, farm vehicles, furniture, golf club heads, machinery parts, marine construction material, mathematical instruments, naval architecture, pulley sheaves, railroad ties, shade rollers, sporting goods, tables, textile equipment, turnery, and wheels.
- 12 Trade in this species is rare. If you encounter a regulated article made of this species, then contact the Manuals Unit to add the article to this list.
- 13 Includes a variety of uses within the species' natural range. If you encounter a regulated article made of this species, then contact the Manuals Unit to add the article to this list.
- 14 Includes flooring, furniture, posts, and timber. (Wood is noted for its longevity in moist environments.)
- 15 Includes furniture, musical instruments, timber, and veneer.
- 16 Trade in this species is rare. If you encounter a regulated article made of this species, then contact the Manuals Unit to add the article to this list.
- 17 Includes timber.
- 18 Includes timber.
- 19 The Americas include Central America, North America (includes Mexico **only**), and South America.
- 20 Consisting of three or more sheets of wood glued and pressed one on the other and generally disposed so that the grains of successive layers are at an angle (HS Code 44.12.13, HS Code 44.12.14, and HS Code 44.12.22). See [Appendix E](#).
- 21 Trade in this species is rare. If you encounter a regulated article made of this species, then contact the Manuals Unit to add the article to this list.

### Step 3: Determine Your Authority

If you are **not** certain that your port is designated for the re-exportation of CITES protected timber, then check to confirm at the following Internet URL:

<<http://www.aphis.usda.gov/ppq/permits/cites/>>

If you are located at a CITES-designated port, then continue to **Step 4: Determine Which Documents Are Needed**.

If you are **not** at a CITES-designated port, then you are **not** authorized to certify the CITES re-export shipment. Provide the re-exporter with the option of going to a designated port (give name and location of port).



Currently 50CFR 24 lists the log and lumber ports as designated **only for the importation** of CITES regulated timber species. The CFR will eventually be amended to include exportation and re-exportation. In the interim, all ports approved for the importation of logs and lumber are also approved for the exportation and re-exportation of CITES regulated timber species.

### Step 4: Determine Which Documents Are Needed

To determine which documents are needed for the legal re-exportation of CITES protected timber, use the appropriate table as follows:

- ◆ CITES Appendix I, see [Table 3-2](#)
- ◆ CITES Appendix II, see [Table 3-3](#)
- ◆ CITES Appendix III, see [Table 3-4](#)



In addition to any CITES re-export documents listed as required in this manual, additional phytosanitary documentation may also be required. See the *Export Certification Manual* and EXCERPT.

### Required Documents for Re-exportation of Appendix I Timber Species

The re-exportation of CITES Appendix I timber species is permitted when presented with appropriate CITES documentation for the following categories of trade:

- ◆ Articles derived from trees cut in the wild for non-commercial use (when presented a CITES Re-export Certificate and a CITES Import Permit)
- ◆ Articles derived from plantation grown trees (when presented a CITES Certificate of Artificial Propagation)

- ◆ Articles acquired prior to the date the Convention listed the species  
(when presented a CITES Certificate for Pre-Convention specimens)



Commercial trade in CITES Appendix I species originating from the wild is **prohibited**.

**TABLE 3-2 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix I Protected Timber Species**

If the article traded comes from:	And the country of origin is:	And the:	Then:
<ul style="list-style-type: none"> <li>◆ <i>Abies guatemalensis</i> (Guatemalan fir)</li> <li>◆ <i>Araucaria araucana</i> (monkey puzzle tree)</li> <li>◆ <i>Dalbergia nigra</i> (Brazilian rosewood)</li> <li>◆ <i>Fitzroya cupressoides</i> (alerce)</li> <li>◆ <i>Pilgerodendron uviferum</i> (pilgerodendron)</li> <li>◆ <i>Podocarpus parlatorei</i> (Parlatore's podocarp)</li> </ul>	Any country	Permittee is engaged in commercial <sup>1</sup> business	REQUIRE <b>both</b> a USDA-issued General Permit, PPQ Form 622, <b>and one</b> of the following USFWS-issued CITES documents <sup>2, 3</sup> : <ul style="list-style-type: none"> <li>◆ Re-export Certificate</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> </ul>
		Permittee is <b>not</b> engaged in commercial business	REQUIRE <b>both</b> of the following CITES-issued documents: <ul style="list-style-type: none"> <li>◆ USFWS-issued CITES Re-export Certificate<sup>2, 3</sup></li> <li>◆ Import Permit issued by the Management Authority in the country of destination</li> </ul> <p><b>OR</b></p> REQUIRE <b>one</b> of the following USFWS-issued CITES documents: <ul style="list-style-type: none"> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> </ul>

- 1 Commercial trade in CITES Appendix I species originating in the wild is **prohibited**.
- 2 If *Block 5, Special Conditions*, of the USFWS-issued CITES Certificate so states, then a CBP/PPQ validated copy of the CITES Export Permit or Certificate issued by the Management Authority in the country of origin is required to be attached (to the USFWS-issued CITES Certificate).
- 3 USFWS-DMA is phasing in the issuance of single-use permits and certificates. Single-use certificates are printed on security paper and the original **must** accompany the shipment.



## Required Documents for Re-exportation of Appendix II Timber Species

The re-exportation of CITES Appendix II timber species is permitted when presented with the appropriate CITES documentation for the following categories of trade:


- ◆ Articles derived from trees cut in the wild  
(when presented a CITES Export Permit or Re-export Certificate)
- ◆ Articles derived from plantation grown trees  
(when presented a CITES Certificate of Artificial Propagation)
- ◆ Articles acquired prior to the date the CITES Convention listed the species  
(when presented a CITES Certificate for Pre-Convention specimens)

See [Table 3-3](#) below to determine which documents are required for the re-exportation of CITES Appendix II timber species.

**TABLE 3-3 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix II Protected Timber Species**

If the article traded comes from:	And the country of origin is:	And the:	Then:
<ul style="list-style-type: none"> <li>◆ <i>Caryocar costaricense</i> (ajillo)</li> <li>◆ <i>Guaiaacum</i> spp. (lignum vitae)</li> <li>◆ <i>Oreomunnea pterocarpa</i> (gavilan)</li> <li>◆ <i>Pericopsis elata</i> (afroormosia)</li> <li>◆ <i>Platymiscium pleiostachyum</i> (crístóbal, granadillo)</li> <li>◆ <i>Pterocarpus santalinus</i> (red sandalwood, redsanders)</li> <li>◆ <i>Swietenia humilis</i> (Pacific Coast mahogany)</li> </ul>	Any country	Permittee is engaged in commercial business	REQUIRE <b>both</b> a USDA-issued General Permit, PPQ Form 622, <b>and one</b> of the following USFWS-issued CITES documents <sup>1, 2</sup> : <ul style="list-style-type: none"> <li>◆ Re-export Certificate</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> </ul>
		Permittee is <b>not</b> engaged in commercial business	REQUIRE <b>one</b> of the following USFWS-issued CITES documents <sup>1, 2</sup> : <ul style="list-style-type: none"> <li>◆ Re-export Certificate</li> <li>◆ Certificate of Artificial Propagation (plantation grown)</li> <li>◆ Pre-Convention Certificate</li> </ul>

**TABLE 3-3 Determine Which Documents Are Needed for the Re-exportation of CITES  
Appendix II Protected Timber Species (continued)**

If the article traded comes from:	And the country of origin is:	And the:	Then:
<i>Swietenia macrophylla</i> <sup>3</sup> (bigleaf mahogany)	The Americas <sup>4</sup> (includes articles originating in The Americas that were re-exported from another country)	Permittee is engaged in commercial business	REQUIRE <b>both</b> a USDA-issued General Permit, PPQ Form 622, <b>and one</b> of the following USFWS-issued CITES documents <sup>1, 2</sup> : ◆ Re-export Certificate ◆ Certificate of Artificial Propagation (plantation grown) ◆ Pre-Convention Certificate
		Permittee is <b>not</b> engaged in commercial business	REQUIRE <b>one</b> of the following USFWS-issued CITES documents <sup>1, 2</sup> : ◆ Re-export Certificate ◆ Certificate of Artificial Propagation (plantation grown) ◆ Pre-Convention Certificate
	Other than The Americas <sup>3</sup>		ACCEPT <b>either</b> one: ◆ Generic Certificate of Origin ◆ Other conclusive proof of origin  A USFWS-issued Re-export Certificate is <b>not</b> required if the article <b>does not</b> originate from The Americas
<i>Swietenia mahogani</i> (Caribbean mahogany)	Any country	Is engaged in commercial business	REQUIRE <b>both</b> a USDA-issued General Permit, PPQ Form 622, <b>and one</b> of the following USFWS-issued CITES documents <sup>1, 2</sup> : ◆ Re-export Certificate ◆ Certificate of Artificial Propagation (plantation grown) ◆ Pre-Convention Certificate
		Is <b>not</b> engaged in commercial business	REQUIRE <b>one</b> of the following USFWS-issued CITES documents <sup>1, 2</sup> : ◆ Re-export Certificate ◆ Certificate of Artificial Propagation (plantation grown) ◆ Pre-Convention Certificate

- 1 If *Block 5, Special Conditions*, of the USFWS-issued CITES Certificate so states, then a CBP/PPQ validated copy of the CITES Export Permit or Certificate issued by the Management Authority in the country of origin is required to be attached (to the USFWS-issued CITES Certificate).
- 2 USFWS-DMA is phasing in the issuance of single-use permits and certificates. Single-use certificates are printed on security paper and the original **must** accompany the shipment.
- 3 Listed by the Convention to include the *Swietenia macrophylla* populations of The Americas **only**; therefore, *Swietenia macrophylla* trees cut in any country **other than** The Americas are **not** regulated by CITES.
- 4 The Americas includes Central America, North America (includes Mexico **only**), and South America.


### Required Documents for Re-exportation of Appendix III Timber Species

The re-exportation of CITES Appendix III timber species is permitted when presented with the appropriate documentation for the following categories of trade:

- ◆ Articles derived from trees cut in the wild  
(when presented a USFWS-issued CITES Re-export Certificate)
- ◆ Articles derived from plantation grown trees  
(when presented a CITES Certificate of Artificial Propagation)
- ◆ Articles acquired prior to the date the CITES Convention listed the species  
(when presented a CITES Certificate for Pre-Convention specimens)


See [Table 3-4](#) to determine which documents are required for the re-exportation of CITES Appendix III timber species.

**TABLE 3-4 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix III Protected Timber Species**

If the timber species is:	And the country of origin is:	And the:	Then:
<i>Cedrela odorata</i> <sup>1</sup> (Spanish cedar)	Colombia or Peru (includes articles originating in Columbia or Peru that were re-exported from another country)	Permittee is engaged in commercial business	REQUIRE <b>both</b> a USDA-issued General Permit, PPQ Form 622, <b>and</b> one of the following USFWS-issued CITES documents <sup>2, 3</sup> : ◆ Re-export Certificate ◆ Certificate of Artificial Propagation (plantation grown) ◆ Pre-Convention Certificate
		Permittee is <b>not</b> engaged in commercial business	REQUIRE <b>one</b> of the following USFWS-issued CITES documents <sup>2, 3</sup> : ◆ Re-export Certificate ◆ Certificate of Artificial Propagation (plantation grown) ◆ Pre-Convention Certificate
	Other than Colombia or Peru		ACCEPT <b>either</b> one: ◆ Generic Certificate of Origin ◆ Other conclusive proof of origin  A USFWS-issued Re-export Certificate is <b>not</b> required if the article <b>does not</b> originate from Columbia or Peru

**TABLE 3-4 Determine Which Documents Are Needed for the Re-exportation of CITES Appendix III Protected Timber Species (continued)**

If the timber species is:	And the country of origin is:	And the:	Then:
<ul style="list-style-type: none"><li>◆ <i>Dipteryx panamensis</i> (almendro)</li><li>◆ <i>Gonystylus</i> spp.(ramin)</li><li>◆ <i>Magnolia liliifera</i> var. obovata</li><li>◆ <i>Podocarpus neriifolius</i> (podocarp)</li><li>◆ <i>Tetracentron sinense</i> (Tetracentron)</li></ul>	Any country	Permittee is engaged in commercial business	REQUIRE <b>both</b> a USDA-issued General Permit, PPQ Form 622, <b>and one</b> of the following USFWS-issued CITES documents <sup>2, 3</sup> : <ul style="list-style-type: none"><li>◆ Re-export Certificate</li><li>◆ Certificate of Artificial Propagation (plantation grown)</li><li>◆ Pre-Convention Certificate</li></ul> As of January 12, 2005, <i>Gonystylus</i> spp. (ramin) moves from Appendix III to Appendix II; see import advisory below
		Permittee is <b>not</b> engaged in commercial business	REQUIRE <b>one</b> of the following USFWS-issued CITES documents <sup>2, 3</sup> : <ul style="list-style-type: none"><li>◆ Re-export Certificate</li><li>◆ Certificate of Artificial Propagation (plantation grown)</li><li>◆ Pre-Convention Certificate</li></ul>



Important

As of January 12, 2005, *Gonystylus* spp. (ramin) moves from Appendix III to Appendix II. Therefore, on or after this date any shipment containing ramin wood (including all wood products) re-exported from the United States **must** be accompanied by a CITES Appendix II Re-export Certificate. **Do not** accept a CITES Appendix III Re-export Certificate for *Gonystylus* spp. (ramin) shipments offered for re-export on or after January 12, 2005.

- 1 Listed on CITES Appendix III by Colombia for *Cedrela odorata* populations of Colombia **only**, and by Peru for *Cedrela odorata* populations of Peru **only**; therefore, *Cedrela odorata* trees cut in any country **other than** Colombia or Peru are **not** regulated by CITES.
- 2 If *Block 5, Special Conditions*, of the USFWS-issued CITES Certificate so states, then a CBP/PPQ validated copy of the CITES Export Permit or Certificate issued by the Management Authority in the country of origin is required to be attached (to the USFWS-issued CITES Certificate).
- 3 USFWS-DMA is phasing in the issuance of single-use permits and certificates. Single-use certificates are printed on security paper and the original **must** accompany the shipment.

## Step 5: Collect Appropriate Documents Associated with the Shipment



Check to see if *Block 5, Special Conditions*, of the USFWS-issued CITES Re-export Certificate or Other Certificate requires that the permittee attach a copy of the CITES Export Permit or Certificate issued by the Management Authority in the country of origin. If so, as part of the re-export validation process you **must** verify that the CITES Appendix I, Appendix II, or Appendix III protected timber or articles were originally legally imported into the U.S. Therefore, the permittee **must** provide you with a legible copy of a valid foreign CITES Export Permit or Certificate that was previously endorsed (stamped, released, signed, and dated by a BCBP-AI or PPQ Officer) at the CITES-designated first port of arrival.

Collect the following valid documents associated with the shipment:

- ◆ CITES Re-export Certificate or Other Certificate (FWS Form 3-201A) issued by U.S. Fish & Wildlife Service-Division of Management Authority (USFWS-DMA)
- ◆ If the condition in *Block 5, Special Conditions*, of the USFWS-issued CITES Certificate so states, then a CITES/PPQ validated copy of the CITES Export Permit or Certificate issued by the Management Authority in the country of origin is required to be attached (to the USFWS-issued CITES Certificate) (**must** be a legible, valid copy of either certificate or permit)
- ◆ If the re-exporter is engaged in a commercial business, a copy of the USDA-issued PPQ Form 622, General Permit (GP)<sup>1</sup> for the re-exporter to engage in the commercial trade of CITES listed plants (see **PPQ Form 622, General Permit** on page A-11). If the re-exporter **does not** have a permit, you may allow the re-exporter to apply for one (see **Step 6: Ensure that Documents Have Not Expired** on page 3-23; and follow the directions for allowing the re-exporter to renew an expired permit)
- ◆ Cargo paperwork associated with the shipment (such as bills of lading, airway bill, U.S. Customs entry, invoice, and dimensional specification sheets<sup>2</sup>)



European Union (EU)<sup>1</sup> countries require a single-use USFWS-issued CITES Re-export Certificate printed on security paper and the original **must** accompany the shipment.

Since multi-use certificates or permits are **not** accepted by the EU, **never** validate them for shipments to EU countries.

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1 If the permittee **does not** provide a copy of a USDA General Permit (GP), then you may confirm that the permittee has a GP by searching the GP database in Lotus Notes.

2 Dimensional specification sheets (or dimensional tally inventory sheets) are used for articles that are imported in quantities expressed in cubic meters, square meters, or board feet, and inventory the size of each piece of lumber or veneer in each bundle shipped. Usually there will be more than one dimensional inventory sheet with each shipment.

- 1 As of May 1, 2004, EU countries include Austria, Belgium, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, The Netherlands, Poland, Portugal, Slovakia, Slovenia, Spain, Sweden, and United Kingdom.

### Step 6: Ensure that Documents Have Not Expired

To verify that the documents have **not** expired, check the bottom left-hand corner of the USDA-issued PPQ Form 622, General Permit (GP) and *Block 2* of the CITES Re-export Certificate or Other Certificate.

#### Renewal of Expired General Permit

If the USDA-issued General Permit has expired, then have the re-exporter reapply by completing PPQ Form 621, Application for General Permit to Engage in the Business of Importing, Exporting, or Re-exporting Terrestrial Plants.

Please use these procedures for having the re-exporter renew the expired General Permit:

1. Call the Permit Unit at either 877/770-5990 (toll free number) or 301/734-8332. (When using the toll free number, press '3' to reach the Plants Desk. Ask for a General Permit (GP) number.)
2. After you obtain a GP number, write the GP number at the top of the application (PPQ Form 621).
3. Have the re-exporter complete the application (PPQ Form 621).
4. Collect a check for \$70 made payable to "Plant Protection and Quarantine."
5. Mail the completed PPQ Form 621 along with the check, to the following address:

USDA-APHIS-PPQ  
PPQ Permit Unit  
4700 River Road, Unit 136  
Riverdale, MD 20737-1236

#### Renewal of Expired CITES Re-export Certificate

If the CITES Re-export Certificate has expired, then stop processing the re-export. Have the permittee contact the U.S. Fish & Wildlife Service, Division of Management Authority, 4401 North Fairfax Drive, Room 700, Arlington, VA 22203, to have the permittee's CITES Re-export Certificate or Other Certificate reissued.

### Step 7: Confirm Legal Importation

If the CITES Re-export Certificate, *Block 5, Special Conditions*, requires the permittee to attach a copy of the CITES Export Permit or Certificate from the country of origin (where the article originated) or the country of last re-export, then confirm that the copy is attached.

To verify that the timber or articles legally entered, ensure that the copy presented to you is valid (match the copy with the example from the country of origin or the country of last re-export shown in **CITES Documents** on **page D-1**). If there is **no** example of the foreign CITES document present, then see the following URL:

[<www.cites.org/common/direct/e\\_directly.html>](http://www.cites.org/common/direct/e_directly.html)

Compare the name and address of the Management Authority of the foreign CITES document with the official offices and addresses of management authorities at this Web site.

Then verify that the CITES Export Permit or Export Certificate was previously inspected and stamped “RELEASED” by a CBP-AI or PPQ Officer. If you are given a copy of an **invalid** document, then **STOP** processing the re-export and inform the permittee of the correct document requirements.

If the copy of the CITES Export Permit presented to you is illegible or was **not** previously endorsed by CBP-AI or PPQ, then contact CBP personnel at the port where the timber logs, lumber, or article originally entered to determine if the material was legally imported.

Once CBP-AI personnel at the port of entry confirm that the material was legally imported, then have the CBP-AI endorse the CITES Export Permit and forward a copy to your office. However, if you learn that the original importation was illegal, then the shipment may be subject to forfeiture. Contact a PPQ regional botanist (CBP contact a PPQ regional botanist through proper channels) for assistance.



## Step 8: Confirm that the CITES Re-export Certificate Is Complete and Accurate

See [CITES Documents](#) on page D-1 for examples of USFWS-issued CITES documents for re-export. Use [Table 3-5](#) to check the designated blocks of the CITES Re-export Certificate to ensure that the certificate is complete and accurate.



**Important**


**Do not** accept a CITES Re-export Certificate that is altered, modified, or crossed-out unless the modification or crossing out has been authenticated by the stamp and signature of the authority issuing the document.

If you are presented with an altered or questionable CITES Re-export Certificate, then place the shipment on HOLD and contact your PPQ regional botanist (CBP contact a PPQ regional botanist through proper channels) for assistance.

**TABLE 3-5 Verify that the CITES Re-export Certificate Is Accurate and Complete**

Block		Information entered by	Instructions
2	Expiration Date	Division of Management Authority (DMA)	VERIFY that the certificate has <b>not</b> expired
3	Name and Address of Permittee	DMA	VERIFY that the name and address listed on the permit matches the information on the accompanying shipping document
4	Name and Address of Consignee	Permittee or DMA	VERIFY that the consignee's name and address matches the information listed on the accompanying shipping document
5	Special Conditions	DMA	<ol style="list-style-type: none"> <li>1. ORIENT yourself to any special conditions with which the permittee <b>must</b> comply to properly use this document</li> <li>2. If this block directs the permittee to complete specific portions of the certificate, then you <b>must</b> VERIFY that the blocks are complete and correct</li> <li>3. If this block instructs the permittee to attach a copy of the CITES document used to import the article into the U.S., then FOLLOW the guidelines in <a href="#">Step 7: Confirm Legal Importation</a></li> </ol>
7	Scientific name (genus and species)	DMA	VERIFY by review of the shipping documents (and later by inspection of the commodity), that the scientific name recorded matches what is being re-exported
9	Description of the part or derivative, including identifying marks	DMA	VERIFY by review of the shipping documents (and later by inspection of the commodity), that the description and identifying marks match what is being recorded

**TABLE 3-5 Verify that the CITES Re-export Certificate Is Accurate and Complete (continued)**

Block		Information entered by	Instructions
10	Appendix Number	DMA	VERIFY that the CITES Appendix number (of the species being re-exported) listed and found in <a href="#">Table 3-1</a> agrees with the Appendix number listed on the CITES document
11	Quantity (including unit)	Permittee or DMA	<ol style="list-style-type: none"> <li>1. VERIFY that the quantity listed agrees with the quantity declared on the invoice and cargo papers accompanying the shipping documents</li> <li>2. If <i>Block 5, Special Conditions</i>, directs the permittee to use a specific unit of quantity, or if <i>Block 9, Description of Specimens</i>, denotes the unit of quantity in the description of the commodity, then VERIFY the specified unit of measure listed in this block</li> <li>3. If the accompanying paperwork declares quantities <b>other than</b> directed, then see <a href="#">Appendix C, Conversion Formulas</a></li> <li>4. If the instructions in <i>Block 5</i> direct the permittee to attach a copy of the CITES document used to import the commodity, then COMPARE the quantity listed in this block with the quantity listed on the attached foreign CITES document</li> </ol> <div style="display: flex; align-items: center;">  <div style="margin-left: 10px;"> <p><b>Important</b></p> <p>The quantity listed in <i>Block 11</i> <b>must not</b> exceed the quantity listed on the attached foreign CITES document. If this occurs, then STOP processing the shipment.</p> </div> </div> <ol style="list-style-type: none"> <li>5. If the quantity listed in this block exceeds the quantity listed on the attached foreign CITES document, then STOP processing the shipment and give the permittee the opportunity to remove excess material and amend his/her paperwork or present you with an amended CITES Re-export Certificate<sup>1</sup></li> </ol>
12	Country of Origin and Permit No.	Permittee or DMA	If <i>Block 5, Special Conditions</i> , requires a copy of the foreign CITES import document be attached, then VERIFY that the country of origin, the permit or certificate number, and the date of issuance of the attached document coincides with the information recorded in this block

1 To amend a CITES Certificate, the quantity listed in *Block 11* **must** be changed in the following manner:

- ◆ If the document is a single-use certificate, then the quantity **must** be changed by USFWS-DMA **only**
- ◆ If the document is a multi-use document, then the permittee **must** present a new copy of the Certificate with the correct quantity listed; **do not** accept a document which has the quantity changed or corrected with lines, x's, or Wite-out

If a CITES Re-export Certificate is presented to you with incomplete or inaccurate information or the document has expired, then **STOP** processing the re-exportation. Place the shipment on HOLD and contact your PPQ regional botanist (CBP contact a PPQ regional botanist through proper channels) for assistance.

If the CITES document is acceptable, then continue to **Step 9: Inspect the Shipment**.

### Step 9: Inspect the Shipment

Inspect the shipment to assess the actual quantity of material being re-exported. You may have to overcome the following difficulties in assessing the volume of material being shipped:

- ◆ Accessibility of containerized cargo
- ◆ Enormity of the shipment
- ◆ Identity of the pallets comprising the shipment
- ◆ Variety of sizes of lumber pallets

When the size of commercial shipments makes impossible the inspection of the entire consignment to assess its quantity, then review the invoice, packing list, or dimensional specification sheets accompanying the consignment to determine the quantity of a representative unit (such as box, bundle, carton, etc.), of the shipment. Continue to **Table 3-6** below.

**TABLE 3-6 Determine the Quantity of a Representative Unit for Inspection**

If:	Then:
Quantity recorded on the USFWS-issued CITES document is by weight	VERIFY the weight of the unit you chose to inspect matches the unit's weight as listed on the invoice or packing list
Quantity recorded on the USFWS-issued CITES document is by number of pieces	VERIFY the number of pieces in the unit you chose to inspect matches the unit's number of pieces as listed on the invoice or packing list
Quantity recorded on the USFWS-issued CITES document is in cubic meters, square meters, or board feet	CONDUCT a dimensional piece count <sup>1</sup> to verify the quantity of the unit you chose to inspect matches the quantity listed for that unit on the invoice, packing list, or dimensional specification sheet
Your physical inspection finds quantities <b>do not</b> match those listed on the invoice, packing list, or dimensional specification sheet	CONTINUE the procedures listed above to determine the extent of the overage

- 1 To perform a dimensional piece count, you **must** measure the items in the inspectional unit either by length and width; or by length, width, and height (thickness); and then multiply the subtotal by the number of pieces in the unit to calculate the total quantity of the unit. See **Appendix C, Conversion Formulas** for assistance.

Continue to [Table 3-7](#) to determine the action to take based on your inspection.

**TABLE 3-7 Determine Action Based on Inspection Results**

If your inspection confirms:	Then:
Quantity is equal to or less than the quantity listed on the USFWS-issued CITES Certificate	CONTINUE to <a href="#">Step 10: Validate the Shipment With Stamp and Endorsement</a>
Quantity in excess of the quantity listed on the USFWS-issued CITES Certificate	Shipment is in violation of CITES Regulations and is subject to seizure and forfeiture. SEE <a href="#">Violations, Seizures, and Forfeitures</a> , for forfeiture procedures and CONTACT a PPQ regional botanist (CBP contact a PPQ regional botanist through proper channels) for assistance with forfeiture procedures
Unauthorized articles (CITES regulated articles that are <b>not</b> recorded on the CITES document)	
Importer is a repeat violator or attempted to mislead you or concealed unauthorized articles	In addition to seizure and forfeiture of the shipment, the importer may be subject to civil or criminal penalties. COMPLETE <a href="#">PPQ Form 518, Report of Violation</a> (see <a href="#">Appendix A</a> for instructions) to document the violation and CONTACT a PPQ regional botanist (CBP contact a PPQ regional botanist through proper channels) to report the violation

### Step 10: Validate the Shipment With Stamp and Endorsement

The CITES Re-export Certificate **is not** valid until a CBP-AI or PPQ officer completes *Blocks 13, 14, and 15* of this form. If the shipment complies with the USFWS-issued CITES Re-export Certificate and the procedures listed in *Steps 1* through *9* of this chapter, then endorse the **original** CITES document. Use your CBP-AI stamp (if available). If you **do not** have this stamp, then use the "USDA-APHIS-PPQ Inspected and Released" or "USDA-APHIS-PPQ Released" stamp. **Sign** your name in ink, and write your badge number and the date. You **must** use a stamp issued by CBP or use an official stamp issued by USDA-APHIS-PPQ. The USDA stamp **must** bear the words, "USDA-APHIS-PPQ Inspected and Released" or "USDA-APHIS-PPQ Released" and *[your port location]*.

Validate by stamping and endorsing the blocks as shown in [Table 3-8](#) below.

**TABLE 3-8 Instructions for Validation and Endorsement of CITES Re-export Certificate**

Block		Completed by	Instructions
13	Export/Re-export Endorsement	CBP-AI or PPQ Officer	1. LIST in the box row corresponding with <i>Block 7</i> , the quantity of material being re-exported; this <b>must</b> equal the quantity entered in <i>Block 11</i> 2. LINE OUT the remaining unused rows
14	Bill of Lading/ Air Waybill Number	CBP-AI or PPQ Officer	1. LIST the bill of lading 2. LIST the port of re-exportation city and State 3. LIST the total number of shipping containers, pallets, or bundles
	Port of Exportation/ Re-exportation		
	Total No. of Shipping Containers		
15	Inspecting Official's Stamp, Signature, and Date	CBP-AI or PPQ Officer	1. ENDORSE the certificate with an official CBP-AI or "USDA-APHIS-PPQ Inspected and Released" or "USDA-APHIS-PPQ Released" stamp which bears the name of your port location 2. SIGN and date the certificate (use ink) 3. LIST your badge number

### Step 11: Distribute CITES Documents

Distribute CITES documents as follows:

- ◆ Take the validated **original** USFWS-issued CITES Certificate, and if the certificate's *Block 5, Special Conditions*, states the permittee **must** attach a copy of the **foreign** CITES Export Permit or Certificate, then attach the foreign copy to the USFWS-issued CITES Certificate and send to the permittee as follows:
  - ❖ Instruct the permittee to forward these documents with the shipment
  - ❖ Suggest that the permittee make and keep a photocopy of the documents for his/her own files
- ◆ Take a **copy** of the validated **original** USFWS-issued CITES Certificate, and if the certificate's *Block 5, Special Conditions*, states the permittee **must** attach a copy of the **foreign** CITES Export Permit or Certificate, then attach the foreign copy to the USFWS-issued CITES Certificate and send to the following office:

U.S. Fish and Wildlife Service  
Division of Management Authority  
4401 North Fairfax Drive, Room 700  
Arlington, VA 22203

- ◆ Take a copy of the validated **original** USFWS-issued CITES Certificate, and if the certificate's *Block 5, Special Conditions*, states the permittee **must** attach a copy of the **foreign** CITES Export Permit or Certificate, then attach the foreign copy to the USFWS-issued CITES Certificate and keep in the port file



CITES files **must** be retained for five years. See [Filing System](#) on **page 2-2** for directions on how to set up and maintain files.

---

## Transportation and Exportation (T&E) of CITES Appendix I, Appendix II, Appendix III Protected Timber Species

### Canada or Mexico

Follow the steps listed below when releasing the shipment for transportation and exportation (T&E) of CITES Appendix I, Appendix II, or Appendix III protected timber species to Canada or Mexico:

1. Verify that the shipment is accompanied by CBP Form 7512 or other accepted in-bond document.
2. Stamp the CBP paperwork, "Released for Exportation."  
**Do not** stamp the CITES document; this will be done by the Canadian or Mexican authorities.
3. Apply any necessary safeguards.
4. Allow the shipment to proceed.



If the CBP paperwork designates both a U.S. Company (middle man) and a Canadian or Mexican consignee, then review the CITES document to verify that the consignee is actually Canadian or Mexican and **not** U.S. If the CITES document declares a U.S. company as the consignee, then the T&E **must** be handled as a CITES re-export.

---

## Immediate Exportation (IE) of CITES Appendix I, Appendix II, Appendix III Protected Timber Species

Follow these steps for the immediate exportation (IE) of CITES Appendix I, Appendix II, and Appendix III protected timber species:

1. Verify the shipment is accompanied by CBP Form 7512 or other accepted export document.
2. Stamp the CBP paperwork, "Released for Exportation."  
**Do not** stamp the CITES document; this will be done by the authorities at the country of destination.
3. Apply any necessary safeguards.
4. Allow the shipment to proceed.





# 4

CITES I-II-III Timber  
Manual

# Violations, Seizures, and Forfeitures

## *Procedures*

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### Introduction

This chapter provides the procedures for processing violations of CITES Appendix I, Appendix II, and Appendix III Protected Timber, and for seizure and forfeiture of CITES-regulated timber (including logs and articles made from protected timber).

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### Preparation

CBP-AI or PPQ Officers at the port should file and maintain associated CITES documents for the following reasons:

- ◆ Facilitate a civil or criminal proceeding
- ◆ Give immediate access to prior actions taken on seized material (in case you are asked questions about a particular action)

- ◆ Identify repeat offenders

### Filing System for Violations, Seizures, and Forfeitures

To set up a filing system for violations, seizures, and forfeitures paperwork, use the following process:

1. Give each shipment found in violation of the legislation a separate file.
2. Label each file by first listing your port name, then the last two digits of the year followed by a hyphen, then the seizure number. The seizure number starts with 01 for the first seizure of the year. Each subsequent seizure will be numbered consecutively.

<b>EXAMPLE</b>	The Port of Miami's first file for 2004 would be: Miami 04-01.  The second file would be numbered Miami 04-02.
----------------	----------------------------------------------------------------------------------------------------------------------

3. Place *Part 4* of PPQ Form 624, Notice of Seizure and Proposed Forfeiture, in the front of each file and update as necessary. Add all applicable forms, such as the following:
  - ❖ PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property (if used)
  - ❖ PPQ Form 625, Claim and Bond (if used)
  - ❖ PPQ Form 626, Petition for Remission or Mitigation of Forfeiture (if used)
  - ❖ PPQ Form 627, Declaration of Forfeiture (if used)
  - ❖ Other relevant documents (i.e., Officer's Statement)
4. Retain each file for 5 years after the last documented action is taken.

---

## Procedures

The following procedures have been established to report on violations of USDA endangered species regulations (7CFR 355), and to initiate seizure and forfeiture for violations of CITES (50CFR 23, 24 and 16 USC 1538) for plants (including their parts or derivatives) listed by the Convention.

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## Violations of Endangered Species Regulations

Violations of USDA endangered species regulations (7CFR 355) with regard to the trade in plants listed by CITES will generally result in the issuance of PPQ Form 518, Report of Violation.

Repeat violations of 7CFR 355 may result in seizure and forfeiture of CITES regulated material. To determine if seizure and forfeiture is warranted, verify the violator is a repeat offender and contact the PPQ CITES specialist in your region for advice. CBP-AI **must** go through proper channels.

**EXAMPLE**

If a violator's General Permit is revoked and the violator attempts to import, export, or re-export CITES regulated material, then seizure and forfeiture is warranted.

### Step 1: Determine if Violation Exists

A violation of the USDA endangered species regulations exists when a party (importer, exporter, or re-exporter) commits one or more of the following:

- ◆ Engages in commercial business as an importer, exporter, or re-exporter **without** PPQ Form 622, General Permit, issued by the USDA
- ◆ Fails to notify CBP or PPQ promptly upon the arrival or prior to the export or re-export, by such means as a manifest, Customs' (CBP) entry, invoice, or waybill, with the genus and species of the regulated material listed
- ◆ Fails to provide the genus and species of regulated material by such means as a tag, invoice, or packing list, or identified on the shipping container
- ◆ Fails (for any person engaged in business as an importer, exporter, or re-exporter) to maintain records for the trade of regulated material for a period of five years
- ◆ Fails or denies (for any person engaged in business as an importer, exporter, or re-exporter) to provide CBP or PPQ access to examine such records or inventory of regulated material
- ◆ Moves regulated material from the Customs' (CBP) area (pertaining to imports) or from the designed port (pertaining to exports or re-exports) **without** submitting the original CITES document to CBP or PPQ for validation

### Step 2: Complete PPQ Form 518, Notice of Violation

See [PPQ Form 518, Report of Violation](#) on page A-4 for an example, and [page A-5](#) for directions on completing the form. However, if the form is available on-line, then complete electronically as appropriate.

---

## Violations of CITES

Violations of CITES (50CFR 23, 24 and 16 USC 1538) for plants (including their parts or derivatives) listed by the Convention will generally result in both a report of violation (PPQ form 518, Report of Violation), and seizure and forfeiture of the illegally-traded material.

### **Step 1: Confirm that the Violation of CITES Exists and Warrants Seizure and Forfeiture**








A violation of CITES regulations exists when a party (importer, exporter, or re-exporter) does one or more of the following:

- ◆ Imports<sup>1</sup>, exports<sup>2</sup>, re-exports<sup>3</sup>, or possesses plants listed in CITES Appendix I, II, or III with invalid CITES documentation or without a CITES document
- ◆ Imports, exports, or re-exports regulated plants in quantities that exceed that recorded on the CITES permit or certificate
- ◆ Imports, exports, or re-exports regulated plants into or out of a port that has **not** been designated for the movement of such plants

To confirm that a violation exists and warrants forfeiture and seizure of the timber or articles, see [Table 4-1](#).

- 
- 1 (Importer, importing, importation) to land on, bring into, introduce into, or attempt to land on, bring into, or introduce into any place subject to the jurisdiction of the United States.
  - 2 (Exporter, exporting, exportation) to carry, send, take, transport, or otherwise remove, or attempt to carry, send, take, transport or otherwise remove from any place subject to the jurisdiction of the United States.
  - 3 To export following importation.

**TABLE 4-1 Confirm the Violation Warrants Seizure and Forfeiture**

If you have:	And:	And you determine:	Then:
Attempt to import into the United States <b>without</b> a CITES document			1. CONTINUE processing the violation; seizure and forfeiture is warranted 2. GO to <b>Step 2: Seize the Protected Timber or Articles</b>
Attempt to export or re-export from the United States <b>without</b> a CITES document		The person is knowledgeable <sup>1</sup>	
	Re-exporter presents regulated articles to you for the purpose of inquiring about CITES <sup>2</sup>	There is <b>no</b> deliberate attempt to defraud or violate the regulations	PROVIDE the person with the required information to obtain the necessary CITES documents; seizure and forfeiture is <b>not</b> warranted
Attempt to import, export, or re-export regulated material through a non-designated port		The person is knowledgeable <sup>1</sup>	1. CONTINUE processing the violation; seizure and forfeiture is warranted 2. GO to <b>Step 2: Seize the Protected Timber or Articles</b>
	Person is unaware of the designated port requirement <sup>3</sup>	There is <b>no</b> obvious attempt to defraud or violate the regulations	PROVIDE the person with the required information and allow to arrange to have the shipment rerouted to a designated port at the owner's expense
Evidence that a permit, certificate, or other official document was altered or forged to gain advantage			1. CONTINUE processing the violation; seizure and forfeiture is warranted 2. GO to <b>Step 2: Seize the Protected Timber or Articles</b>
Quantities in excess of the quantity recorded on the CITES document			
Unauthorized regulated material (CITES regulated articles that are <b>not</b> recorded on the CITES document)			
Violation <b>other than</b> listed in the cells above			1. STOP processing the violation 2. CONTACT a PPQ Regional Botanist through proper channels

- 1 Consider a person knowledgeable if any of the following apply: the person was given prior information regarding CITES regulations; is a General Permit (GP) holder; deliberately attempted to conceal CITES-regulated material; or is a repeat violator.
- 2 The lack of a CITES document by a re-exporter may be due, in part, to a lack of knowledge about the regulations.
- 3 An attempt to import or re-export through a non-designated port may be due, in part, to the person's lack of knowledge about the regulations.

## **Step 2: Seize the Protected Timber or Articles**

If you have **not** already done so, then seize the material moving in violation of the 50CFR 23 and/or 50CFR 24 CITES regulations by placing the material on HOLD. Notify all parties involved that the seized material is **not** to be moved without CBP's or PPQ's permission. Continue to ***Step 3: Estimate the Retail Value of the Timber or Articles Moving in Violation of the Legislation.***

## **Step 3: Estimate the Retail Value of the Timber or Articles Moving in Violation of the Legislation**

If the seized property is sold in the United States, then use the price asked by the nearest retailer to estimate the value. If the property is **not** sold in the United States or if impractical to contact a retailer, then use the material's invoiced value. Continue to ***Step 4: Start Forfeiture Procedures.***

## **Step 4: Start Forfeiture Procedures**

The forfeiture procedures will allow you to gain legal custody of the article seized and to facilitate prosecution by CBP or PPQ or DMA. After you have obtained the value of the seized timber or article, then see ***Table 4-2*** to determine the forfeiture procedures to use.

**TABLE 4-2 Determine Forfeiture Procedures to Use for Seized Timber or Articles**

<b>If you estimate the value of the seized material to be:</b>	<b>Then:</b>
\$10,000 or less	GO to <b><i>Forfeiture Procedures for Seizures \$10,000 or Less Value</i></b>
More than \$10,000	GO to <b><i>Forfeiture Procedures for Seizures Over \$10,000 Value</i></b>

**Forfeiture  
Procedures for  
Seizures  
\$10,000 or Less  
Value**

When the value of the seizure is \$10,000 or less, follow these steps and continue processing the violation:

1. Allow the owner to either waive title (by completing PPQ Form 623) to the material moving in violation of the legislation or to challenge the forfeiture of that material.
2. Advise the owner that the material becomes forfeited after 21 days.
3. Complete PPQ Form 624, Notice of Seizure and Proposed Forfeiture (see the example in [Figure A-7](#) and [Instructions on page A-21](#)), for material seized under CITES legislation. Then do as follows:
  - A. Verify that the file number is listed on all applicable forms.
  - B. Make certain to record the date and time of posting PPQ Form 624 on *Block 9* of *Part 1* (2 and 3 are duplicates) and *Block 7A* of *Part 4*. **Immediately** post *Part 2* of PPQ Form 624 at the CBP or PPQ office in a conspicuous place that is accessible to the public and keep posted for 21 days; this **must** be located at the office where the material was seized.
  - C. File the original PPQ Form 624 at the CBP or PPQ office where the material was seized.
  - D. Keep PPQ Form 624, *Part 4*, as a worksheet to know what has happened, who was notified, and when the next step is to be taken.
4. Distribute PPQ Form 623 and PPQ Form 624 as follows:
  - ❖ If the owner or owner's agent is present and signs PPQ Form 623, Waiver of Forfeiture Procedures, then distribute PPQ Form 623 as follows:
    - Hand *Part 2* to the owner or agent
    - File *Part 1* with the CBP or PPQ file (providing the owner or agent with *Part 3* of PPQ Form 624 is **not** necessary)
  - ❖ If the owner or owner's agent is present and **did not** sign PPQ Form 623 or is **not** present, then send *Part 3* of PPQ Form 624, Notice of Seizure and Proposed Forfeiture, by **Certified**

or **Registered Mail** with **Return Receipt Requested** together with the following, to all persons believed to be owners or to have an interest in the seized material<sup>4</sup>:

- PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property
- PPQ Form 625, Claim and Bond
- PPQ Form 626, Petition for Remission or Mitigation of Forfeiture



If the owner or owner's agent is present and requests a copy of PPQ Form 624, then make a photocopy of *Part 3* and give the photocopy to the owner or owner's agent. You **must** also send the **original** *Part 3*, PPQ Form 624, to the owner or owner's agent by **Certified** or **Registered Mail** with **Return Receipt Requested** to comply with the regulations.



If multiple owners or agents are identified, then you may send photocopies of the required forms in lieu of the actual forms.

5. Make a copy of PPQ Form 624, Notice of Seizure and Proposed Forfeiture, *Part 4* **only**, and forward the copy to the following address:

CITES and Plant Inspection Station Coordinator  
USDA-APHIS-PPQ  
4700 River Road, Unit 60  
Riverdale, MD 20737-1236

For detailed instructions on completing forms for seizures \$10,000 or less value, see **Appendix A**: PPQ Form 621 on [page A-9](#) through [page A-10](#); PPQ Form 623 on [page A-13](#) through [page A-15](#); PPQ Form 624, *Part 1* on [page A-16](#) through [page A-19](#); PPQ Form 624, *Part 4* on [page A-20](#) through [page A-22](#); PPQ Form 625 on [page A-30](#) through [page A-31](#), and PPQ Form 626 on [page A-32](#) through [page A-33](#).

Continue to **Step 5: Safeguard the Seized Timber or Articles**.

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<sup>4</sup> Those that may have an interest include interested parties such as owner's agent, shipping line, or supplier. These people are identified on PPQ Form 624, *Part 4, Block 6*.



### Forfeiture Procedures for Seizures Over \$10,000 Value

When the value of the seizure exceeds \$10,000, follow these forfeiture procedures, then continue processing the violation:

1. Modify PPQ Form 624, Notice of Seizure and Proposed Forfeiture, as follows (see the example of **Modified PPQ Form 624, Notice of Seizure (Part 1)** on page A-23 and instructions in **Table A-7 on page A-28**)
  - ❖ Cross out, “AND PROPOSED FORFEITURE” in the form’s title
  - ❖ Cross out the words, “OTHER THAN PLANTS” in *Block 3*
  - ❖ Cross out the entire *Block 7*
  - ❖ Renumber *Block 8* as *Block 7* and type “8. The Animal and Plant Health Inspection Service shall take appropriate action in accordance with 7CFR Part 356 and the Civil Asset Forfeiture Reform Act of 2000.”
2. Complete the modified PPQ Form 624, Notice of Seizure. Proofread the completed form to ensure that there are **no inaccuracies** in *Blocks 3* and *4*. These blocks are used to describe the material, why the material was seized, and your authority for the seizure.
3. Enter the appropriate dates in the modified PPQ Form 624, *Part 4, Blocks 6* and *7*.
4. Make sure that all relevant documents have been collected and filed. Update the file as necessary.
5. Write a narrative report of all relevant facts and circumstances of the violation, as follows:
  - ❖ Include the names of any witnesses
  - ❖ Cite the laws believed to have been violated
  - ❖ Prepare the narrative report on CBP or PPQ letterhead
    - Letterhead **must** be dated and bear your name, signature, and title
    - You **must** use the letterhead since the seizure will be brought before a U.S. District Court by the U.S. Attorney’s Office

If you need additional guidance, contact your PPQ Regional Botanist through proper channels.

6. Have the Port Director sign the modified PPQ Form 624. Assemble the following documents for **overnight shipment** to the CITES and Plant Inspection Station Coordinator:
  - ❖ CBP-AI or PPQ Officer's (your) narrative report (original)
  - ❖ Modified PPQ Form 624 original *Part 1*, and a photocopy of *Part 4*
  - ❖ Correspondence and documents that accompanied the shipment
7. Ship **overnight** the assembled documents identified in 6., above to the following address:

CITES and Plant Inspection Station Coordinator  
USDA-APHIS-PPQ  
4700 River Road, Unit 60  
Riverdale, MD 20737-1236
8. Use **Certified** or **Registered Mail with Return Receipt Requested** to send the following forms to all persons believed to be owners or to have an interest in the seized material<sup>5</sup>:
  - Modified PPQ Form 624, Notice of Seizure, *Part 3*
  - PPQ Form 626, Petition for Remission or Mitigation of Forfeiture
9. Retain the modified PPQ Form 624, *Part 2* and *Part 4* original in your Port files for five years.



If multiple owners or agents are identified, then you may send photocopies of the forms in lieu of the actual forms.

For detailed instructions on completing forms for seizures over \$10,000 value, see [Appendix A: Modified PPQ Form 624, Notice of Seizure \(Part 1\)](#) on page A-23 through page A-25; [Modified PPQ Form 624, Notice of Seizure, \(Part 4, Worksheet\)](#) on page A-27 through page A-29; and [PPQ Form 626, Petition for Remission or Mitigation of Forfeiture](#) on page A-32 through page A-33.

Go to [Step 5: Safeguard the Seized Timber or Articles](#) on page 4-11.

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<sup>5</sup> Those that may have an interest include interested parties such as owner's agent, shipping line, or supplier. These people are identified on PPQ Form 624, *Part 4, Block 6*.

## Step 5: Safeguard the Seized Timber or Articles



Notify all parties involved that the seized material is **not** to be moved without CBP's or PPQ's permission.

Safeguard the seized protected timber or articles until the material leaves your (CBP-AI or PPQ Officer) care. Make sure that nothing is lost.

For seizures valued at \$10,000 or less, continue to ***Step 6: Take Custody of Seized or Abandoned Material \$10,000 or Less Value.***

For seizures valued at more than \$10,000, continue to ***Step 7: Take Custody of Seized Material Over \$10,000 Value.***

## Step 6: Take Custody of Seized or Abandoned Material \$10,000 or Less Value

You may take custody of the seized material valued at \$10,000 or less, after 21 days if the following occurs:

- ◆ If PPQ Form 625, Claim and Bond, was **not** submitted to the Deputy Administrator



If PPQ Form 625, Claim and Bond, was received by the Deputy Administrator, then you will be notified by PPQ. Continue to HOLD and safeguard the seizure. You will be notified by PPQ when to take custody and you may be asked to serve papers issued by the U.S. Marshal's Service.

- ◆ Importer or re-exporter **did not** present an acceptable CITES document (see [Conference Resolution 12.3, Permits and Certificates](#) on page B-4, Section I, paragraphs n), and o) (for replacement documents), and Section XIII, paragraphs a), b), c), and d) (for retrospective issue of permits and certificates)

To take custody of the seized material, do as follows:

1. Complete PPQ Form 627, Declaration of Forfeiture (see [Figure A-12](#) for an example.) See *Parts 1* and *4* of PPQ Form 624, Notice of Seizure and Proposed Forfeiture (worksheet) to complete PPQ Form 627. (If PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property, was signed by the owner or agent, then completing PPQ Form 627 is **not** necessary.)
2. Send a copy of PPQ Form 627 by **Certified or Registered Mail with Return Receipt Requested**, to the owner of the forfeited material.



The seized material is now the property of the U.S. Government.

3. Record in *Block 7(d), Part 4* of PPQ Form 624, Notice of Seizure and Proposed Forfeiture (worksheet), the date and time you mail PPQ Form 627.

If PPQ Form 626, Petition for Remission or Mitigation of Forfeiture, is received by the Deputy Administrator, then you will be notified by PPQ.



You are entitled to take custody of the seized material by issuing PPQ Form 627. However, CBP or PPQ **must** continue to HOLD and safeguard the material until final notification. **Do not** make arrangements to dispose of the material until you receive notification from PPQ Headquarters to do so.

If PPQ Form 626 was **not** received or you have been notified from PPQ Headquarters to start the process for disposal, then continue to **Step 8: Start the Process for Disposal of Forfeited Material \$10,000 or Less Value**.

### **Step 7: Take Custody of Seized Material Over \$10,000 Value**

Seizures valued at more than \$10,000 are forwarded to the U.S. Attorney's office in the State where the seizure occurred. CBP or PPQ **must** continue to HOLD and safeguard the material. CBP or PPQ will be notified by PPQ Headquarters or the U.S. Marshal's Service once a decision has been made.

In most cases, the U.S. District Court transfers the forfeiture process to the U.S. Marshal's Service. The U.S. Marshal's Service (**not** CBP or PPQ) finalizes custody and disposal of the forfeited material.

### **Step 8: Start the Process for Disposal of Forfeited Material \$10,000 or Less Value**

Forfeited material **cannot** be disposed of until 60 days after the seizure became the property of the U.S. Government. DHS-CBP and USDA-PPQ utilize the services of a private contractor to dispose of forfeited material.

Arrangements with the contractor to transport and store forfeited material are generally made after the material becomes the property of the U.S. Government. Arrangements to have seized material placed in storage by the contractor prior to completing the forfeiture process may be necessary (i.e., if storage at the Port is **not** available or if the storage cost is too expensive).

Continue to the **Checklist for Services to Dispose of Forfeited Shipments** to complete the checklist to make arrangements for disposal.

### Checklist for Services to Dispose of Forfeited Shipments

To make arrangements for disposal of the seized material, complete the quote in [Figure 4-1](#).

Checklist for Services to Dispose of Forfeited Shipments	
1. Seizure number _____	(see Forfeiture number/Port file number)
2. Description of the commodity _____ (example: rough-sawn lumber)	
3. Quantity _____ (example: cartons, boxes, volume. If lumber, list cubic meters; if veneer, list square meters)	
4. Common name of wood _____ (example: big leaf mahogany)	
5. Scientific name of wood _____ (example: <i>Swietenia macrophylla</i> )	
6. Country of origin _____	
7. Weight (in kilograms) _____	
8. Dimensions of shipment _____ (Length) _____ (Width) _____ (Height) (to determine size of truck needed to transport the seizure, measure size of entire load as one unit; list length, width, and height)	
9. Value of shipment \$ _____	
10. Is the shipment on pallets? _____ (YES or NO). If YES, are the pallets part of the shipment _____ (YES or NO) or do they belong to the warehouse? _____ (YES or NO)	
11. Location of the seized material _____ _____ CBP or PPQ Point of Contact Officer's name _____ and phone number _____	
12. Storage charges accrued to date \$ _____ and the amount the dock, pier, or warehouse will continue to charge on a daily basis \$ _____	
13. Date the forfeited property can be disposed of ( <b>not</b> before the date PPQ Form 627 was sent, plus 60 days) _____	

**FIGURE 4-1 Checklist for Services to Dispose of Forfeited Shipments**

### **Distribution of Checklist for Services to Dispose of Forfeited Shipments**

After the checklist is completed electronically, then send the completed form as an attachment to:

- ◆ John Arcery (for PPQ Eastern Region), e-mail  
john.n.arcery@aphis.usda.gov
- ◆ Timothy Torbett (for PPQ Western Region), e-mail  
timothy.j.torbett@aphis.usda.gov

If e-mail is **not** available, then FAX the completed form to:

- ◆ John Arcery (for PPQ Eastern Region), FAX #718-553-0060
- ◆ Timothy Torbett (for PPQ Western Region), FAX #650-876-9008

The contractor will contact the CBP or PPQ Point of Contact Officer to schedule an appointment to have the loading of the forfeited material supervised.







# Appendix A

## *Forms and Permits*

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## Introduction

This appendix provides a reference list of violations to cite on PPQ forms, and examples and instructions for completing, distributing, and retaining PPQ forms.

## List of Violations

Use the violations listed in [Figure A-1](#) as a reference for the citation of regulations for CITES violations when completing PPQ Form 518, Report of Violation, and seizure and forfeiture forms PPQ Form 623, 624, and 627.

Regulation	Violation	Acceptable forms to cite regulation as appropriate
16 USC 1538(c)(1)	Any violation of CITES	◆ PPQ Form 518
50 CFR 23.11	Any violation of CITES	◆ PPQ Form 623
50 CFR 23.12 (a)(1)	CITES violations involving the <b>importation</b> of <b>Appendix I</b> species	◆ PPQ Form 624
50 CFR 23.12(b)(1)	CITES violations involving the <b>exportation</b> or <b>re-exportation</b> of <b>Appendix I</b> and <b>Appendix II</b> species	◆ PPQ Form 627
50 CFR 23.12(a)(2)	CITES violations involving the <b>importation</b> of <b>Appendix II</b> species	
50 CFR 23.12(a)(3)	CITES violations involving the <b>importation</b> of <b>Appendix III</b> species	
50 CFR 23.12(b)(2)(i)	CITES violations involving the <b>exportation</b> or <b>re-exportation</b> of species listed in <b>Appendix III</b> by the United States	
50 CFR 23.12(b)(2)(ii)	CITES violations involving the <b>exportation</b> or <b>re-exportation</b> of species <b>not</b> listed in <b>Appendix III</b> by the United States	
50 CFR 24.11 & 24.12	Violations involving the <b>import</b> , <b>export</b> , or <b>re-export</b> of any CITES species through a <b>non-designated</b> port	
16 USC 1538(f)(1)		
7CFR 355.11	Violations of the General Permit requirement for commercial importation, exportation, or re-exportation of CITES species	◆ PPQ Form 518 <sup>1</sup>
7 CFR 355.20	Violations of the marking and notification requirements for CITES species imported, exported, or re-exported by means <b>other than</b> the mail	
7 CFR 355.21	Violations of the marking and notification requirements for CITES species imported, exported, or re-exported by mail	
7 CFR 355.22(a)	Violations of the requirement to have CITES documentation validated prior to the movement of an import of a CITES species from the Customs inspection area	
7 CFR 355.22(b)	Violations of the requirement to have CITES documentation validated prior to the exportation or re-exportation of a CITES species	
7 CFR 355.23	Violations of the requirements involving record keeping, access, and reports for the commercial importation, exportation, or re-exportation of CITES species	

**FIGURE A-1 Reference for CITES Violations Citation of Regulations on Applicable PPQ Forms 518, 623, 624, and 627**

1 If the violation warrants seizure and forfeiture, then citation of 7CFR 355 may be used on PPQ Forms 623, 624, and 627. See [Step 1: Determine if Violation Exists](#) on [page 4-3](#).

## PPQ Form 518, Report of Violation

<p>The information requested is voluntary, and is needed to record your knowledge of possible irregularities under the USDA Plant Protection and Quarantine Program.</p> <p>U. S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE</p> <p><b>REPORT OF VIOLATION</b></p>		<p><b>SERIAL NO. A 98255</b></p>	
<p>1. DATE VIOLATION DISCOVERED <b>June 28, 2004</b></p>		<p>2. VIOLATED - REG./COMPL. AGREEMENT <b>*See Block 15, REMARKS</b></p>	
<p>3. WHERE INTERCEPTED (City or Port, and State; also county if domestic) <b>Jamaica, New York</b></p>		<p>4. ORIGIN OF ARTICLE (Include county if domestic) <b>Brasil</b></p>	
<p>6. ARTICLE MOVED IN VIOLATION OF REGULATIONS <b>CITES Regulated timber</b></p>		<p>6. IDENTITY OF ARTICLE (Serial No., Waybill No., description, etc.) <b>Guitar parts BL MOLU-82534A36-0</b></p>	
<p>7. NAME AND BUSINESS ADDRESS OF VIOLATOR (Shipper, caterer, cleaner, garbage handler, servicing agent, broker, ship's agent, etc. Identify which.)  <b>Jeffrey's Guitars 140 Pine Ridge Road Delray Beach, FL 33446</b></p>		<p>8. VIOLATOR HAD Compliance agreement? <input type="checkbox"/> Yes <input type="checkbox"/> No Permit? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No</p>	
<p>10. NAME AND BUSINESS ADDRESS OF CARRIER  <b>DHL 1345 Main Street Memphis, TN 38103</b></p>		<p>9. IF NO, VIOLATOR WAS AWARE OF REGULATION <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unknown If "Yes" - how informed and when?</p>	
<p>12. IDENTITY OF CARRIER PLANE Acft., No. <b>DHL</b> Flight No. <b>DL72</b>  SHIP Flag Name  ROAD VEHICLE License No.</p>		<p>11. CARRIER WAS AWARE OF REGULATION <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <input type="checkbox"/> Unknown If "Yes" - how informed and when?</p>	
<p>14. DISPOSITION OF PEST RISK (i.e., articles named in item 5 were fumigated, destroyed, etc.)  <b>N/A</b></p>		<p>13. NAME AND BUSINESS ADDRESS OF CONSIGNEE  <b>Same as Block 7</b></p>	
<p>15. REMARKS (Attach additional sheet, if needed) * 2. VIOLATED REG. 16 USC 1538(c)(i), 7CFR 355.20, 50CFR 23.11, 50 CFR 23.12(a)(i)</p> <p>The violator attempted to import .5 M<sup>3</sup> of <i>Dalbergia nigra</i> (Brazilian rosewood) wood without CITES documentation. The wood was not listed as rosewood or <i>Dalbergia nigra</i> on the tag, invoice, packing list, or markings on the shipping container. The importer did not notify CBP. Therefore, the importer failed to provide the genus and species of the regulated material.</p>			
<p>16. VIOLATOR OR CARRIER'S STATEMENT OF VIOLATION (Attach additional sheet, if needed identify who gave statement)</p> <p>Violator stated he was unaware of the regulations.</p>			
<p>17. OFFICER'S STATEMENT: Must attach a detailed, signed and dated statement. State how the action violated the regulations or compliance agreement cited in Item 2. Describe fully the facts of the violation from discovery through disposition of pest risk including when, who, what, and where.</p>			
<p>18. SIGNATURE OF INITIATING OFFICER <i>Tony L. James</i></p>		<p>19. PRINTED NAME OF OFFICER AND WORK UNIT <b>TONY L. JAMES CARGO</b></p>	
<p>21. OFFICER IN CHARGE COMMENTS (Attach additional sheet, if needed) List Previous Violations: <b>NONE</b>  Recommendations: <b>Civil Penalty</b></p>		<p>20. DATE REPORT COMPLETED <b>JUNE 28, 2004</b></p>	
<p>22. SIGNATURE OF OFFICER IN CHARGE <i>John S. Murray</i></p>		<p>23. PRINTED NAME OF OFFICER IN CHARGE AND WORK UNIT <b>John S. Murray</b></p>	
<p>PPQ FORM 518 (MAR 88) Previous editions obsolete.</p>		<p>24. DATE SIGNED <b>June 28, 2004</b></p>	

PART 1 - IES STAFF

FIGURE A-2 Example of PPQ Form 518, Report of Violation

## Purpose

PPQ Form 518, Report of Violation, as relates to CITES is used to report violations of 7CFR 355, 50CFR 23, and 50CFR 24, and becomes part of the total case file together with the Officer's Statement.


## Instructions

Follow the instructions in [Table A-1](#) to complete PPQ Form 518 for CITES violations.

**TABLE A-1 Instructions for Completing PPQ Form 518, Report of Violation**

Block		Instructions
1	DATE VIOLATION DISCOVERED	1. Enter the date the violation was discovered 2. If discovered after the violation occurred, then explain in <i>Block 15, REMARKS</i>
2	VIOLATED-REG/COMPL AGREEMENT	Cite the regulations violated; see <a href="#">A-1, Reference for CITES Violations Citation of Regulations on Applicable PPQ Forms 518, 623, 624, and 627, on page A-A-3</a>
3	WHERE INTERCEPTED	Enter the name of the port where the violation occurred
4	ORIGIN OF ARTICLE (include country if domestic)	Enter the name of the country where the article originated or the timber was grown
5	ARTICLE MOVED IN VIOLATION OF REGULATIONS	Enter the name of the CITES regulated articles
6	IDENTITY OF ARTICLE	Enter the waybill number, serial number, etc.
7	NAME AND ADDRESS OF VIOLATOR	List the violator's name and business address
8	VIOLATOR HAD	Check applicable box
	Compliance agreement	Leave blank; <b>not</b> applicable
	Permit	If violator had permit, check YES; if <b>not</b> , check NO
9	IF NO, VIOLATOR WAS AWARE OF REGULATION	Complete as applicable
	If YES, how informed and when	Complete as applicable
10	NAME AND BUSINESS ADDRESS OF CARRIER	List the carrier's name and business address
11	CARRIER WAS AWARE OF REGULATION	Check applicable box
12	IDENTITY OF CARRIER	Fill in as appropriate
13	NAME AND BUSINESS ADDRESS OF CONSIGNEE	List the name and address of the violator (same as <i>Block 7</i> )
14	DISPOSITION OF PEST RISK	Leave blank; <b>not</b> applicable

**TABLE A-1 Instructions for Completing PPQ Form 518, Report of Violation (continued)**

Block		Instructions
15	REMARKS	Enter any pertinent remarks
16	VIOLATOR OR CARRIER'S STATEMENT OF VIOLATION	<p>If applicable, do as follows:</p> <ol style="list-style-type: none"> <li>1. Ask the violator to provide an explanation of the incident and get a written statement as soon as possible</li> <li>2. Get statements from the carrier, agent, importer, or any other party involved</li> <li>3. Title statement "Violator's Statement" or "Agent's Statement", etc., and give the statement an exhibit number and enter "See attached [Violator/Carrier/Agent/Importer's] Statement"</li> <li>4. If the person refuses to write a statement, then do as follows: <ul style="list-style-type: none"> <li>◆ Ask the person to tell you what happened relative to the violation</li> <li>◆ Write down exactly what the person says</li> <li>◆ Indicate the statement was transcribed by you, the officer and use your transcription as the statement</li> </ul> </li> <li>5. If the person gives you <b>only</b> a few brief remarks, then list these directly in <i>Block 16</i></li> </ol>
17	OFFICER'S STATEMENT	<div data-bbox="820 1094 927 1213">  <p><b>Important</b></p> </div> <div data-bbox="950 1079 1396 1220" style="background-color: #e0f2f1; padding: 10px;"> <p>An Officer's Statement <b>must</b> be written and accompany each completed PPQ Form 518 submitted.</p> </div> <ol style="list-style-type: none"> <li>1. Write your explanation of the violation on a separate sheet of paper and title "Officer's Statement"</li> <li>2. Give this statement an exhibit number</li> <li>3. Describe all the facts that resulted in the article listed in <i>Block 5</i> being in violation of the regulation listed in <i>Block 2</i></li> <li>4. State all the facts including who, what, when, where, how</li> <li>5. Include the following information where appropriate: <ul style="list-style-type: none"> <li>◆ When and where the violation occurred</li> <li>◆ How the violation occurred</li> <li>◆ Identify the owner of the regulated articles</li> <li>◆ Refer to your exhibits and explain their relevance to the case</li> <li>◆ If you witnessed the violation, state so</li> </ul> </li> <li>6. Officer signs and dates the statement</li> <li>7. If more than one officer was involved with the violation, then each officer <b>must</b> write a separate statement</li> </ol>
18	SIGNATURE OF INITIATING OFFICER	Initiating officer signs this block

**TABLE A-1 Instructions for Completing PPQ Form 518, Report of Violation (continued)**

<b>Block</b>		<b>Instructions</b>
19	PRINTED NAME AND WORK UNIT	Print initiating officer's name and work unit
20	DATE REPORT COMPLETED	List the date this form is completed
21	OFFICER IN CHARGE COMMENTS	<ol style="list-style-type: none"> <li>1. List any additional information that may help to substantiate the case, such as previous warning letters and dates sent, any known previous civil penalties, case numbers, and dates and amounts of penalties assessed</li> <li>2. List your recommendation for one of the following: <ul style="list-style-type: none"> <li>◆ Warning letter</li> <li>◆ Civil penalty</li> <li>◆ Criminal penalty</li> </ul> </li> </ol>
22	SIGNATURE OF OFFICER IN CHARGE	Officer-in-charge (Port Director) signs
23	PRINTED NAME OF OFFICER IN CHARGE AND WORK UNIT	Print name and work unit of officer-in-charge (Port Director)
24	DATE SIGNED	List the date the officer in charge signed

### **Distribution of PPQ Form 518**

Distribute the case file, include PPQ form 518, the Officer's Statement, and any other attached statements as follows:

**TABLE A-2 Distribution of PPQ Form 518 Case File**

<b>If you are:</b>	<b>Then:</b>
CBP	SEND through channels
PPQ Officer	1. MAKE a copy for your file 2. GIVE or SEND the originals of the entire case file to the Port Director
Port Director	1. If you made a separate statement concerning the violation, then ATTACH the statement to the top of the file 2. GIVE or SEND the entire case file to the Plant Health Director of the State where the violation originated
State Plant Health Director	1. ARRANGE the contents of the case file in the following order: <ul style="list-style-type: none"><li>◆ Port Director's Statement</li><li>◆ PPQ Form 518</li><li>◆ List of Exhibits</li><li>◆ Officer's Statement</li><li>◆ Clear readable copies of all other documents in the file</li><li>◆ Photographs and other physical evidence</li><li>◆ Warning letter or other information about previous violations</li></ul> 2. SEND the entire case file (originals) to Investigative and Enforcement Services at the following address:  USDA-APHIS-IES 4700 River Road, Unit 85 Riverdale, MD 20737



## PPQ Form 621, Application for General Permit to Engage in Business of Importing, Exporting, or Re-exporting Terrestrial...

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0049. The time required to complete this information collection is estimated to average .166 hours per response, including the time for reviewing instructions, search existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.

FORM APPROVED  
OMB NO. 0579-0076

U.S. DEPARTMENT OF AGRICULTURE  
ANIMAL AND PLANT HEALTH INSPECTION SERVICE  
PLANT PROTECTION AND QUARANTINE

APPLICATION FOR GENERAL PERMIT TO  
ENGAGE IN THE BUSINESS OF IMPORTING,  
EXPORTING, OR REEXPORTING  
TERRESTRIAL PLANTS

INSTRUCTIONS: ONE COPY OF THIS APPLICATION MUST BE  
ACCOMPANIED BY A CHECK OR MONEY ORDER FOR \$70  
MADE PAYABLE TO PLANT PROTECTION AND QUARANTINE.  
IN ADDITION TO THIS APPLICATION, PLEASE COMPLETE  
APPLICATION, PPQ FORM 587. IF YOU ARE IMPORTING  
TERRESTRIAL WOOD PRODUCTS, PLEASE COMPLETE  
APPLICATION, PPQ FORM 585.

FORWARD COMPLETED  
APPLICATION W/ CHECK TO:  
USDA-APHIS-PPQ  
Permit Unit  
4700 River Road, Unit 136  
Riverdale, MD 20737-1236  
1-877-770-5990;

**1. NAME AND UNITED STATES ADDRESS OF APPLICANT:**

Forest L. Birch  
FLB Lumber and Veneer Co., Inc.  
50 N. Main Street  
Birchwood, WI 54817

TELEPHONE: (555) 555-4444

FAX: (555) 555-3333

**2. APPLICATION IS IN THE NAME OF**  
("X" one)

INDIVIDUAL: ☐

A BUSINESS: ☒

**3. Describe the Nature of Your Activities Relating to Importing, Exporting, or Reexporting Plants Regulated by 50 CFR 17.12 & 23.23**

Import bigleaf mahogany (*Swietenia macrophylla*) to manufacture plywood

**4a. Name of Business Affiliation (if any) Having to do With Importing, Exporting, or Reexporting Plants Regulated by 50 CFR 17.12 & 23.23**

FLB Lumber and Veneer Co., Inc

**b. Form of Business ("X" one if applying as a business)**

☒ Corporation ☐ Firm ☐ Partnership ☐ Other (specify)

**c. List the Name and Address of Each Partner, Officer, Director, Holder, and Owner of 10% or More of Voting Stock, and Employee in Managerial or Executive Capacity (if more space is needed continue on reverse side)**

Forest L. Birch	2924 Knollwood Lane	Birchwood, WI 54817
Joyce B. Roberts	1406 Lake Haven Drive	Birchwood, WI 54818
Melissa Stull Birch	2924 Knollwood Lane	Birchwood, WI 54817

**5. Address(es) Where Plants Regulated by 50 CFR 17.12 and 23.23 Would be Grown or Stored and Any Other Location Where Activities Related to Such Plants Would be Conducted**

50 N. Main Street, Birchwood, WI 54817  
60 W. Highway 48, Birchwood, WI 54817

**6. Street Addresses Where Books or Records Concerning the Importation, Exportation or Reexporting of Plants Regulated by 50 CFR 17.12 and 23.23 Will be Kept**

50 N. Main Street, Birchwood, WI 54817

**7. Name and Address of the Person Authorized to Make Records or Plant Inventories Available for Examination by Inspectors**

Melissa Stull Birch  
50 N. Main Street  
Birchwood, WI 54817

Telephone Number: AC (555) 555-4445

I hereby certify that the information in this application is complete and accurate to the best of my knowledge and belief.  
False Statement: Falsification of any item on this application may result in a fine of not more than \$10,000 or imprisonment for not more than 5 years or both (18 U.S.C. 1001)

**8. SIGNATURE (partner or officer if a business)**

*R. C. Hopper*

**9. DATE**

7-7-04

PPQ FORM 621

(MARCH 01) Previous edition obsolete.

WARNING: Any alteration, forgery, or unauthorized use of this document is subject to civil penalties of up to \$250,000 (7 U.S.C.s 7734(b)) or punishable by a fine of not more than \$10,000, or imprisonment of not more than 5 years, or both (18 U.S.C.s 1001)

**FIGURE A-3 Example of PPQ Form 621, Application for General Permit to Engage in the Business of Importing, Exporting, or Re-exporting Terrestrial Plants**

### **Purpose**

PPQ Form 621, Application for General Permit to Engage in the Business of Importing, Exporting, or Reexporting Terrestrial Plants, is used to apply for a General Permit.

### **Instructions**


The permittee completes this form.

### **Distribution of PPQ Form 621**

The permittee sends the completed form along with a \$70 check or money order made payable to "Plant Protection and Quarantine" to the PPQ Permit Unit at the following address:

USDA-APHIS-PPQ  
Permit Unit  
4700 River Road, Unit 136  
Riverdale, MD 209737-1236

## PPQ Form 622, General Permit

	No. _____
<b>United States Department of Agriculture</b>	<b><i>General Permit</i></b>
Animal and Plant Health Inspection Service	To engage in the business of <b>importing, exporting or reexporting terrestrial plants</b> <b>listed in 50 CFR 17.12 or 23.23</b>
Plant Protection and Quarantine	<b>Issued to:</b>
	Expiration Date _____ Approving Official _____

PPQ FORM 622  
(APR 95)

PART 1 – PERMITTEE

FIGURE A-4 Example of PPQ Form 622, General Permit

### **Purpose**

PPQ Form 622, General Permit (GP), is one document required for importers, exporters, and re-exporters to engage in the commercial trade of CITES listed plants.

### **Instructions**

Applicants **must** first complete and submit PPQ Form 621 before obtaining a General Permit (see ***PPQ Form 621, Application for General Permit to Engage in Business of Importing, Exporting, or Re-exporting Terrestrial...***). This form is completed by the applicant.

### **Distribution of PPQ Form 622**

PPQ Form 622 is issued and distributed by the USDA-APHIS-PPQ Permit Unit.

## PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property

The following example is for seizures \$10,000 or less in value.

Filing of this waiver is voluntary, and waives the requirement for formal notice at each step of the legal proceedings (7 CFR 356).		See reverse side for additional information.	FORM APPROVED OMB NO. 0579-0076
U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE			FILE NO. Miami 04-03
<b>WAIVER OF FORFEITURE PROCEDURES BY OWNER OF SEIZED PROPERTY</b>			
1. The property described below was seized by the U. S. Department of Agriculture on (date) <u>06/28/04</u> at (time) <u>1430</u> at (place) <u>Pier 17, Port of Miami</u> and is now in the custody of the Officer in Charge of Plant Protection and Quarantine, at <u>Miami, Florida</u> . This property is subject to procedures relating to forfeitures in 7 CFR 356.1 - 356.9.			
2. DESCRIPTION OF PROPERTY			
Common Name	Scientific Name	Number of Plants or Parts	
Bigleaf Mahogany	<i>Swietenia macrophylla</i>	30 cubic meters	
3. DESCRIPTION OF PROPERTY OTHER THAN PLANTS (Include any identifying numbers)			
10 bundles of lumber stenciled BLC in red paint			
4. THIS PROPERTY WAS SEIZED BECAUSE			
The CITES document presented had expired			
THIS WAS IN VIOLATION OF <u>16 USC 1538(c)(i), 50CFR 23.11, 50 CFR 23.12(a)(ii)</u>			
5. PLANTS NOW LOCATED AT		6. ARRIVED ON (Carrier)	7. WAYBILL NO.
Pier 17, Port of Miami		06/24/04	MOLU37560 A7-5
I hereby voluntarily abandon the plants listed above to the U.S. Government.			
I understand that the following are my rights concerning the above listed property:			
<p>1. The right to challenge a forfeiture action brought by the United States Government. This is done by filing a claim to the property and a bond in the amount of \$250., with sureties to be approved by the Deputy Administrator, Plant Protection and Quarantine. I understand that in case of condemnation of the articles so claimed, I, as obligor, shall pay all the costs and expenses of the proceedings to obtain such condemnation. Any claim and bond challenging the forfeiture action must be received in the above mentioned Plant Protection and Quarantine Office within 20 days after the posting of a copy of a notice of seizure and proposed forfeiture and shall state claimant's interest in the property.</p> <p>2. The right to file a petition for remission or mitigation of forfeiture with the Deputy Administrator, Plant Protection and Quarantine, Animal and Plant Health Inspection Services, U. S. Department of Agriculture, Room 302-E Administration Building, Washington, DC 20250, in accordance with the procedures in 7 CFR 356.7 (copy of this section of the regulation is reproduced on the reverse of this form). This does not allow the remission or mitigation of plants that are without documentation required under 50 CFR Chapter I.</p>			
I have read and understand the rights stated above and knowingly waive all my claims to, interests in, and further rights or proceedings relative to such plants, including the right to challenge forfeiture actions and the right to petition for remission or mitigation of forfeiture.			
8. NAME AND ADDRESS OF OWNER(S)			
Frederick Bowman, Bowman's Lumber Company, 167 Industry Blvd., Delray Beach, FL 33446			
9. SIGNATURE OF OWNER(S)		10. DATE	
<i>Frederick Bowman</i>		06/28/04	
11. SIGNATURE OF WITNESS		12. DATE	
<i>Douglas Bowman</i>		06/28/04	
13. DISPOSITION OF PLANTS			
Lumber on HOLD and Safeguarded at Pier 17, Port of Miami			
PPQ FORM 623 (JUN 89)		PART 1 - PPQ PORT FILES	

FIGURE A-5 Example of PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property

## Purpose

PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property, is used to allow the owner to waive title to the material moving in violation of the legislation. This form is used for seizures \$10,000 or less in value.

## Instructions

Complete PPQ Form 623 as shown in [Table A-3](#) below.

**TABLE A-3 Instructions for Completing PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property (for seizures \$10,000 or less value)**

Block		Instructions
	FILE NO.	List the port file number (see <a href="#">Filing System for Violations, Seizures, and Forfeitures</a> )
1	The property...	<ol style="list-style-type: none"> <li>1. List the date and time the article was seized</li> <li>2. List the name of the port, city and State where the seizure occurred</li> </ol>
2	DESCRIPTION OF PROPERTY	<ol style="list-style-type: none"> <li>1. List the common name of the wood the article or lumber is derived from</li> <li>2. List the scientific name of the wood the article is derived from</li> <li>3. List the quantity seized (number of pieces, cubic meters, squares meters, etc. according to commodity)</li> </ol>
3	DESCRIPTION OF PROPERTY...	<ol style="list-style-type: none"> <li>1. Modify this block by crossing out or lining out the words "OTHER THAN PLANTS"</li> <li>2. List a description of the article (include identifying marks. serial number, etc.)</li> </ol>
4	THIS PROPERTY WAS SEIZED BECAUSE	List a description of the violation  <b>EXAMPLE</b> CITES document presented had expired.
	THIS WAS IN VIOLATION OF	List the CFR number and USC number of the regulation violated (see <a href="#">List of Violations</a> on <a href="#">page A-3, Figure A-1</a> )
5	PLANTS NOW LOCATED AT	List the location of the plants, plant parts, or derivatives (such as wood, lumber, or articles made from wood)
6	ARRIVED ON	List the carrier's name
7	WAYBILL NO	List the waybill number
8	NAME AND ADDRESS OF OWNER(S)	Owner lists name and address
9	SIGNATURE OF OWNER(S)	Owner signs
10	DATE	Owner lists date signed

**TABLE A-3 Instructions for Completing PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property (for seizures \$10,000 or less value) (continued)**

Block		Instructions
11	SIGNATURE OF WITNESS	CBP or PPQ Officer signs here as witnessing the owner signing <i>Block 9</i> ; otherwise, another person should sign as witnessing the signing of <i>Block 9</i>
12	DATE	Witness (to the signing of <i>Block 9</i> ) enters date signed <i>Block 11</i>
13	DISPOSITION OF PLANTS	CBP or PPQ Officer records the status of the seizure  <b>EXAMPLE</b> Lumber is on HOLD at Pier 17.

### Distribution and Retention of PPQ Form 623

Distribute and retain PPQ Form 623 as follows:

- ◆ If the owner or owner's agent is present and signs PPQ Form 623, Waiver of Forfeiture Procedures, then distribute the form as follows:
  - ❖ FILE *Part 1* in the Port file and retain for 5 years
  - ❖ GIVE *Part 2* to the owner or agent
- ◆ If the owner or owner's agent is present but will **not** sign the form or is **not** present, then send PPQ Form 623, Waiver of Forfeiture by **Certified or Registered Mail with Return Receipt Requested**, together with the following forms to all persons believed to be owner or owners or to have an interest in the seized material<sup>1</sup>:
  - ❖ PPQ Form 624, Notice of Seizure and Proposed Forfeiture, *Part 3*
  - ❖ PPQ Form 625, Claim and Bond
  - ❖ PPQ Form 626, Petition for Remission or Mitigation of Forfeiture

<sup>1</sup> Those that may have an interest include interested parties such as owner's agent, shipping line, or supplier. These people are identified in PPQ Form 624, *Part 4, Block 6*.



## PPQ Form 624, Notice of Seizure and Proposed Forfeiture (Part 1)

This example is for seizures \$10,000 or less in value.

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE		FILE NO.
<b>NOTICE OF SEIZURE AND PROPOSED FORFEITURE</b>		Miami 04-01
1. The property described below was seized by the U. S. Department of Agriculture on (date) <u>07-06-04</u> at (time) <u>1330</u> at (place) <u>Pier 12, Port of Miami</u> and is now in the custody of the Officer in Charge of Plant Protection and Quarantine, at <u>Miami, Florida</u> . This property is subject to procedures relating to forfeitures in 7 CFR 356.1 - 356.9.		
2. DESCRIPTION OF PROPERTY		
Common Name	Scientific Name	Number of Plants or Parts
Ramin	Gonystylus sp.	1.158 cubic meters
3. DESCRIPTION OF PROPERTY <del>OTHER THAN PLANTS</del> (Include any identifying numbers)		
Wooden dowels, 100,000 pieces, 100 boxes marked "Order No. 04-07643"		
4. THIS PROPERTY WAS SEIZED BECAUSE		
The owner attempted to import without the required CITES document.		
THIS WAS IN VIOLATION OF <u>16 USC 1538(c)(1), 50CFR 23.11, 50 CFR 23.12(a)(iii)</u>		
5. NAME AND ADDRESS OF APPARENT OWNER OF DESCRIBED PROPERTY		
Henry Pattison H.P. Hardwood, Inc. 1726 Steward Street Miami, Florida 33132		
6. THE PROPERTY WAS APPRAISED IN ACCORDANCE WITH 7 CFR 355.32 AND THE VALUE HAS BEEN DETERMINED TO BE APPROXIMATELY		
\$ <u>1,763</u>		
7. Any person claiming the seized property may file with the office specified, in item 1, a claim to the property and a bond in the amount of \$250, with sureties to be approved by the Deputy Administrator, conditioned that in case of condemnation of the articles so claimed the obligor shall pay all the costs and expenses of the proceedings to obtain such condemnation. Any claim and bond must be received in such office within 20 days after posting of the notice of proposed forfeiture, and shall state claimant's interest in the property. The Deputy Administrator may extend the 20 day period with an appropriate statement on the posted notice of proposed forfeiture if necessary to allow a person deemed to have an interest in the property at least 10 days to file such a claim and bond after receipt of a notice of proposed forfeiture.		
8. Any person having an interest in the property specified in item 1, above may file a petition for remission or mitigation of forfeiture in accordance with procedures in 7 CFR 356.7. This does not allow remission or mitigation of plants that are without documentation required under 50 CFR Chapter 1.		
9. NOTICE POSTED		10. SIGNATURE OF OFFICER IN CHARGE
DATE <u>07/06/04</u>	TIME <u>1430</u>	<i>Michael Moser</i>
PPQ FORM 624 (JAN 92)		(Previous editions may be used.)
PART 1 - PPQ PORT FILE		

FIGURE A-6 Example of PPQ Form 624, Notice of Seizure and Proposed Forfeiture, Part I (Parts 2 and 3 are duplicates) (for seizures \$10,000 or less in value)



## Purpose

PPQ Form 624, Notice of Seizure and Proposed Forfeiture, *Part 1* (*Parts 2 and 3 are duplicates of Part 1*) is used to notify the violator of the intended forfeiture of the violator's seized property.

## Instructions for Completing *Part 1* of PPQ Form 624

For seizures \$10,000 or less in value, complete PPQ Form 624, *Part 1* (*Parts 2 and 3 are duplicates of 1*) as directed in [Table A-4](#).

**TABLE A-4 Instructions for Completing PPQ Form 624, Part 1 (Parts 2 and 3 are duplicates) (for seizures \$10,000 or less in value)**

Block		Instructions
	FILE NO.	List the port file number (see <a href="#">Filing System for Violations, Seizures, and Forfeitures</a> )
1	The property...	<ol style="list-style-type: none"> <li>1. List the date and time the article was seized</li> <li>2. List the name of the port, city, and State where the seizure occurred</li> </ol>
2	DESCRIPTION OF PROPERTY	<ol style="list-style-type: none"> <li>1. List the common name of the wood the article or lumber is derived from</li> <li>2. List the scientific name of the wood the article is derived from</li> <li>3. List the quantity seized (number of pieces, cubic meters, squares meters, etc. according to commodity)</li> </ol>
3	DESCRIPTION OF PROPERTY...	<ol style="list-style-type: none"> <li>1. Modify the form by crossing or lining out the words "OTHER THAN PLANTS"</li> <li>2. List a description of the article or identifying marks (order number, box markings, serial number, etc.)</li> </ol>
4	THIS PROPERTY WAS SEIZED BECAUSE	List a description of the violation  <div style="border: 1px solid black; padding: 5px; display: inline-block;"> <b>EXAMPLE</b>    The owner attempted to import regulated wood without the required CITES document.         </div>
	THIS WAS IN VIOLATION OF	List the CFR number and USC number of the regulation violated (see <a href="#">List of Violations, Figure A-1</a> )
5	NAME AND ADDRESS OF APPARENT OWNER OF DESCRIBED PROPERTY	List the owner's name and the name and address of the company the articles or timber were seized from
6	THE PROPERTY WAS APPRAISED IN ACCORDANCE WITH 7CFR 355.22 AND THE VALUE HAS BEEN DETERMINED TO BE APPROXIMATELY	List the appraised value as follows: <ul style="list-style-type: none"> <li>◆ If the same wood or articles as those seized are sold in the U.S., then list the estimated value (of those sold) at the nearest retail store</li> <li>◆ If <b>not</b> sold in the U.S., then list the invoiced amount</li> <li>◆ See <a href="#">Step 3: Estimate the Retail Value of the Timber or Articles Moving in Violation of the Legislation</a> on <b>page 4-6</b></li> </ul>

**TABLE A-4 Instructions for Completing PPQ Form 624, Part 1 (Parts 2 and 3 are duplicates) (for seizures \$10,000 or less in value) (continued)**

Block		Instructions
7	Any person...	Leave blank
8	Any person...	Leave blank
9	NOTICE POSTED	See the date and time entered on <i>Part 4, Block 7a.</i> of the Worksheet
	DATE	List the date the notice was posted
	TIME	List the time the notice was posted
10	SIGNATURE OF OFFICER IN CHARGE	Officer-in-charge signs

### Distribution and Retention of PPQ Form 624 (Parts 1, 2, 3)

For seizures \$10,000 or less in value, distribute and retain PPQ Form 624, *Parts 1, 2, and 3* **only**, as follows:

- ◆ File the original *Part 1* at the CBP or PPQ office where the material was seized and retain for 5 years
- ◆ Immediately post *Part 2* and keep posted for 21 days at the CBP or PPQ office, in a conspicuous place that is accessible to the public (this **must** be located at the office where the material was seized)
- ◆ If the owner signed PPQ Form 623, then distribute PPQ Form 624 as follows:
  - ❖ File the original *Part 1* at the CBP or PPQ office where the material was seized
  - ❖ Immediately post *Part 2* and keep posted for 21 days at the CBP or PPQ office, in a conspicuous place that is accessible to the public (this **must** be located at the office where the material was seized)
  - ❖ Keep *Part 3* with *Part 2* (providing the owner with *Part 3* is **not** necessary)
- ◆ If the owner or owner's agent is present and **did not** sign PPQ Form 623, or is **not** present, then send *Part 3* of PPQ Form 624, Notice of Seizure and Proposed Forfeiture, by **Certified** or

**Registered Mail with Return Receipt Requested**, together with following, to all persons believed to be owners or to have an interest in the seized material<sup>2</sup>:

- ❖ PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property
- ❖ PPQ Form 625, Claim and Bond
- ❖ PPQ Form 626, Petition for Remission or Mitigation of Forfeiture



If the owner or owner's agent is present and requests a copy of PPQ Form 624, then make a photocopy of *Part 3* and give the photocopy to the owner or owner's agent. You **must** also send the **original** *Part 3*, PPQ Form 624, to the owner or owner's agent by **Certified** or **Registered Mail with Return Receipt Requested** to comply with the regulations.



If multiple owners or agents are identified, then you may send photocopies of the required forms in lieu of the actual forms.

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<sup>2</sup> Those that may have an interest include interested parties such as owner's agent, shipping line, or supplier. These people are identified on PPQ Form 624, *Part 4, Block 6*.

## PPQ Form 624, Notice of Seizure and Proposed Forfeiture (Part 4 Worksheet)

This example is for seizures \$10,000 or less in value.

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE		FILE NO.
<b>NOTICE OF SEIZURE AND PROPOSED FORFEITURE</b>		Miami 04-02
1. The property described below was seized by the U. S. Department of Agriculture on (date) <u>07/06/04</u> at (time) <u>1330</u> at (place) <u>Pier 12, Port of Miami</u> and is now in the custody of the Officer in Charge of Plant Protection and Quarantine, at <u>Miami, Florida</u> . This property is subject to procedures relating to forfeitures in 7 CFR 356.1 - 356.9.		
2. DESCRIPTION OF PROPERTY		
Common Name	Scientific Name	Number of Plants or Parts
Ramin	Gonystylus sp.	1.158 cubic meters
3. DESCRIPTION OF PROPERTY <del>OTHER THAN PLANTS</del> (Include any identifying numbers) Wooden dowels, 100,000 pieces, 100 boxes, marked: Order No. 04-07643		
4. THIS PROPERTY WAS SEIZED BECAUSE The owner attempted to import without the required CITES document.		
THIS WAS IN VIOLATION OF <u>16 USC 1538(c)(1), 50CFR 23.11, 50 CFR 23.12(a)(iii)</u>		
5. APPRAISED VALUE \$ <u>1,763.00</u>		
BASIS OF APPRAISAL <u>Invoiced value</u>		
6. NAME OF PERSONS KNOWN TO HAVE AN INTEREST IN THE ARTICLES SEIZED		INSERT DATE IN BLOCKS THAT APPLY
	PPQ 623 SIGNED	PPQ 624 SENT
	Sent	Received
	PPQ 625	PPQ 626
	Sent	Received
	PPQ 627 SENT	
Henry Pattison	/	07/06/04
	07/06/04	/
	07/06/04	/
	07/06/04	/
	07/06/04	/
	07/06/04	/
	07/06/04	/
7. RECORD OF STEPS COMPLETED		
	DATE	TIME
a. PPQ 624 Posted	07/06/04	1430
b. PPQ 624 Removed (a. + 21 days)	07/27/04	1430
c. Deadline for receiving PPQ <sup>625</sup> <del>626</del> (a. + 20 days)	07/26/04	1430
d. PPQ 627 Declaration of Forfeiture prepared and sent (not before c.)	07/27/04	1430
e. Property placed in custody of U.S. Dept. of <u>Agriculture and/or U.S. Dept. of Homeland Security</u> for final disposition according to law (not before d.)	07/27/04	1430
Retain this form and copies of PPQ Forms 623, 624 (Part 1), 625, and 627 and any other documents applicable to this shipment for <u>five</u> years.		
PPQ FORM 624 (JAN 92)		

PART 4 - PPQ PORT WORKSHEET

FIGURE A-7 Example of PPQ Form 624, Notice of Seizure and Proposed Forfeiture, Part 4 (Port Worksheet) (for seizures \$10,000 or less in value)

## Purpose

PPQ Form 624, Notice of Seizure and Proposed Forfeiture, *Part 4* is used as a worksheet to know what forms have been sent and received, who was notified, and the date the next step is to be taken.

## Instructions

For seizures \$10,000 or less in value, complete *Part 4, Worksheet*, PPQ Form 624 as directed in [Table A-5](#). See also [Forfeiture Procedures for Seizures \\$10,000 or Less Value](#) on [page 4-7](#).

**TABLE A-5 Instructions for Completing PPQ Form 624, Part 4, Worksheet**  
(for seizures \$10,000 or less in value)

Block		Instructions
	FILE NO.	<i>Blocks 1-4 have been filled out during the process of completing Part 1</i>
1	The property...	
2	DESCRIPTION OF PROPERTY	
3	DESCRIPTION OF PROPERTY OTHER THAN PLANTS	
4	THIS PROPERTY WAS SEIZED BECAUSE THIS WAS IN VIOLATION OF	
5	APPRAISED VALUE	List the appraised value of the seizure from <i>Part 1, Block 6</i>
	BASIS OF APPRAISAL	List the source of the appraised value (see <a href="#">Step 3: Estimate the Retail Value of the Timber or Articles Moving in Violation of the Legislation</a> on <a href="#">page 4-6</a> )
6	NAME OF PERSONS KNOWN TO HAVE AN INTEREST IN THE ARTICLE SEIZED	List the names of all persons believed to be owners or to have an interest in the seized material
	<b>INSERT DATE IN BLOCKS THAT APPLY</b>	
	PPQ 623 SIGNED	If PPQ Form 623 is signed by the violator, then enter the date signed; otherwise leave blank
	PPQ 624 SENT	If PPQ Form 624 was sent to the violator, then enter the date sent; otherwise leave blank
	PPQ 625 SENT/RECEIVED	1. If PPQ Form 625 was sent to the violator, then enter the date sent 2. If PPQ Form 625 was signed and received (returned) from the violator, then enter the date; otherwise leave blank
	PPQ 626 SENT/RECEIVED	If PPQ Form 626 was sent to the violator, then enter the date sent; if signed and received from the violator, then enter the date received; otherwise leave blank
	PPQ 627 SENT	If PPQ Form 627 was sent to the violator, then enter the date sent; otherwise leave blank

**TABLE A-5 Instructions for Completing PPQ Form 624, Part 4, Worksheet  
(for seizures \$10,000 or less in value) (continued)**

Block		Instructions
7	RECORD OF STEPS COMPLETED	
	a. PPQ 624 Posted	In the corresponding blocks, list the date and time PPQ Form 624 was posted and initial
	b. PPQ 624 Removed (a + 20 days)	In the corresponding blocks, list the date and time PPQ Form 624 was removed and initial
	c. Deadline for receiving PPQ 626 (a + 20 days)	1. Modify this block by crossing out or lining out "626" and adding "625") 2. List the deadline that the completed PPQ Form 625 <b>must</b> be received from the violator
	d. PPQ Form 627 Declaration of Forfeiture prepared and sent ( <b>not</b> before c.)	In the corresponding blocks, list the date and time PPQ form 627 was prepared and sent
	e. Property placed in custody of the Department of the Interior	1. Modify this block by crossing out or lining out the word "Interior" and replacing with the words "Agriculture and/or U.S. Dept. of Homeland Security" 2. List date the property was placed in the custody of CBP or USDA
	Retain this form and copies of PPQ Form 623, 624 (Part 1), 625, and 627 and any other documents applicable to this shipment for two years	Modify this block by crossing out or lining out the word "two" and adding the word "five"

### Distribution and Retention of PPQ Form 624 (Part 4, Worksheet)

#### Distribution for Seizures \$10,000 or Less Value

For seizures \$10,000 or less in value, distribute and retain *Part 4*, PPQ Form 624 Worksheet as follows:

1. Make a copy of the completed *Part 4* **only** and forward the copy to the following address:

CITES and Plant Inspection Station Coordinator  
USDA-APHIS-PPQ  
4700 River Road, Unit 60  
Riverdale, MD 20737-1236

2. FILE the completed *Part 4* along with *Part 1* and retain for 5 years.

## Modified PPQ Form 624, Notice of Seizure (Part 1)

The following example is a modified PPQ Form 624, Notice of Seizure, for seizures over \$10,000 value.

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE		FILE NO.
<b>NOTICE OF SEIZURE AND PROPOSED FORFEITURE</b>		Miami 04-02
1. The property described below was seized by the U. S. Department of Agriculture on (date) <u>7-7-04</u> at (time) <u>1030</u> .. at (place) <u>Port of Miami</u> .. and is now in the custody of the Officer in Charge of Plant Protection and Quarantine, at <u>Miami, Florida</u> .. This property is subject to procedures relating to forfeitures in 7 CFR 356.1 - 356.9.		
2. DESCRIPTION OF PROPERTY		
Common Name	Scientific Name	Number of Plants or Parts
Bigleaf mahogany	<i>Swietenia macrophylla</i>	15.2 cubic meters
3. DESCRIPTION OF PROPERTY <del>OTHER THAN PLANTS</del> . (Include any identifying numbers)		
Dimension mahogany lumber; 8 bundles are stenciled with "ITT" (International Tropical Timber) in red on the end grain. Bill of lading MOLU-6758326-A-02		
4. THIS PROPERTY WAS SEIZED BECAUSE		
The owner attempted to import without the required CITES document		
THIS WAS IN VIOLATION OF <u>16 USC 1538(c)(1) 50CFR 23.12(a)(3)</u>		
5. NAME AND ADDRESS OF APPARENT OWNER OF DESCRIBED PROPERTY		
Frederick Hartman International Tropical Timber (ITT) 2735 Wood Lane Miami, Florida 33312		
6. THE PROPERTY WAS APPRAISED IN ACCORDANCE WITH 7 CFR 355.32 AND THE VALUE HAS BEEN DETERMINED TO BE APPROXIMATELY		
<u>\$ 14,700</u>		
<del>7. Any person claiming the seized property may file with the office specified in item 1, a claim to the property and a bond in the amount of \$250, with sureties to be approved by the Deputy Administrator, conditioned that in case of condemnation of the articles so claimed the obligor shall pay all the costs and expenses of the proceedings to obtain such condemnation. Any claim and bond must be received in such office within 20 days after posting of the notice of proposed forfeiture, and shall state claimant's interest in the property. The Deputy Administrator may extend the 20 day period with an appropriate statement on the posted notice of proposed forfeiture if necessary to allow a person deemed to have an interest in the property at least 10 days to file such a claim and bond after receipt of a notice of proposed forfeiture.</del>		
7. <input checked="" type="checkbox"/> Any person having an interest in the property specified in item 1, above may file a petition for remission or mitigation of forfeiture in accordance with procedures in 7 CFR 356.7. This does not allow remission or mitigation of plants that are without documentation required under 50 CFR Chapter 1.		
8. The Animal and Plant Health Inspection Service shall take appropriate action in accordance with CFR Part 356 and the Civil Asset Forfeiture Reform Act of 2000.		
9. NOTICE POSTED		10. SIGNATURE OF OFFICER IN CHARGE
DATE <u>7.7.04</u>	TIME <u>1045</u>	<u>Lauren Laurel</u>
PPQ FORM 624 (JAN 92)		(Previous editions may be used.)
PART 1 - PPQ PORT FILE		

FIGURE A-8 Example of Modified PPQ Form 624, Notice of Seizure (for seizures over \$10,000 value)



## Purpose

PPQ Form 624, Notice of Seizure and Forfeiture, is modified to "Notice of Seizure" for seizures over \$10,000 value. The modified PPQ Form 624, Notice of Seizure, is used to notify the violator of the intended forfeiture of the violator's seized property.

## Instructions

### Seizures Over \$10,000 Value

For seizures over \$10,000 value, modify this form by completing as in [Table A-6](#) below. (See [Forfeiture Procedures for Seizures Over \\$10,000 Value](#) on page 4-9 for detailed instructions.)

**TABLE A-6 Instructions for Completing Modified PPQ Form 624, Notice of Seizure, Part 1 (Parts 2 and 3 are duplicates) (for seizures over \$10,000 value)**

Block		Instructions
NOTICE OF SEIZURE...		Modify the form's title by crossing out or lining out the words "AND PROPOSED FORFEITURE"
	FILE NO.	List the port file number (see <a href="#">Filing System for Violations, Seizures, and Forfeitures</a> )
1	The property...	1. List the date and time the article was seized 2. List the name of the place and the city and State where the seizure occurred
2	DESCRIPTION OF PROPERTY	1. List the common name of the wood the article or lumber is derived from 2. List the scientific name of the wood the article is derived from 3. List the quantity seized (number of pieces, cubic meters, squares meters, etc. according to commodity)
3	DESCRIPTION OF PROPERTY...	1. Modify the form by crossing or lining out the words "OTHER THAN PLANTS" 2. List a description of the article or identifying marks (order number, box markings, serial number, etc.)
4	THIS PROPERTY WAS SEIZED BECAUSE	List a description of the violation  <b>EXAMPLE</b> The owner attempted to import regulated wood without the required CITES document.
	THIS WAS IN VIOLATION OF	List the CFR section and USC section of the regulation violated (see <a href="#">List of Violations, Figure A-1</a> )
5	NAME AND ADDRESS OF APPARENT OWNER OF DESCRIBED PROPERTY	List the owner's name, and the name and address of the company the articles or timber were seized from



**TABLE A-6 Instructions for Completing Modified PPQ Form 624, Notice of Seizure, Part 1 (Parts 2 and 3 are duplicates) (for seizures over \$10,000 value) (continued)**

Block		Instructions
6	THE PROPERTY WAS APPRAISED IN ACCORDANCE WITH 7CFR 355.22 AND THE VALUE HAS BEEN DETERMINED TO BE APPROXIMATELY	<p>List the appraised value as follows:</p> <ul style="list-style-type: none"> <li>◆ If the same wood or articles as those seized are sold in the U.S., then list the estimated value (of those sold) at the nearest retail store</li> <li>◆ If <b>not</b> sold in the U.S., then list the invoiced amount</li> </ul> <p>See <b>Step 3: Estimate the Retail Value of the Timber or Articles Moving in Violation of the Legislation</b> on <b>page 4-6</b></p>
7	Any person...	Modify this block by crossing out or lining out the block number and lines of text
8 (old)	Any person...	Modify the block number by crossing out or lining out the number "8" and adding "7"
8 (new)		Add the following new block number and text: "8. The Animal and Plant Health Inspection Service shall take appropriate action in accordance with CFR Part 356 and the Civil Asset Forfeiture Reform Act of 2000."
9	NOTICE POSTED	Modify this block by crossing out or lining out the words "NOTICE POSTED"
	DATE	Officer in charge enters the date and time <i>Block 10</i> is signed
10	SIGNATURE OF OFFICER IN CHARGE	Officer in charge signs this block

### Distribution and Retention of Modified PPQ Form 624 (Parts 1, 2, 3)

#### Distribution for Seizures Over \$10,000 Value

For seizures over \$10,000 value, distribute and retain the modified PPQ Form 624 as listed below (see **Forfeiture Procedures for Seizures Over \$10,000 Value** on **page 4-9** for more information):

**1. Assemble the following documents:**

- ❖ Modified PPQ Form 624, *Part 1* **original** and a photocopy of *Part 4*
- ❖ CBP-AI or PPQ Officer's (your) narrative report **original**
- ❖ Correspondence or documents that accompanied the shipment

and send by **overnight shipment** to the following address:

CITES and Plant Inspection Station Coordinator  
USDA-APHIS-PPQ  
4700 River Road, Unit 60  
Riverdale, MD 20737-1236

**2. Send by **Certified** or **Registered Mail** with **Return Receipt Requested**, the following forms to all persons believed to be owners or to have an interest in the seized material<sup>3</sup>:**

- ❖ Modified PPQ Form 624, *Part 3*
- ❖ PPQ Form 626, Petition for Remission or Mitigation of Forfeiture



If multiple owners or agents are identified, then you may send photocopies of the required forms in lieu of the actual forms.

**3. File PPQ Form 624, *Part 2* and *Part 4* **original** in the port files and retain for 5 years.**



If the owner or owner's agent is present and requests a copy of PPQ Form 624, then make a photocopy of *Part 3* and give the photocopy to the owner or owner's agent. You **must** also send the **original** *Part 3* of PPQ Form 624 to the owner or owner's agent by **Certified** or **Registered Mail** with **Return Receipt Requested** to comply with the regulations.

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<sup>3</sup> Those that may have an interest include interested parties such as owner's agent, shipping line, or supplier. These people are identified on PPQ Form 624, *Part 4, Block 6*.

## Modified PPQ Form 624, Notice of Seizure, (Part 4, Worksheet)

The following example of a modified PPQ Form 624, Notice of Seizure, Part 4 worksheet is for seizures over \$10,000 value.

U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE						FILE NO. Miami 04-02		
<b>NOTICE OF SEIZURE AND PROPOSED FORFEITURE</b>								
1. The property described below was seized by the U. S. Department of Agriculture on (date) <u>7-7-04</u> at (time) <u>1030</u> at (place) <u>Port of Miami</u> and is now in the custody of the Officer in Charge of Plant Protection and Quarantine, at <u>Miami, Florida</u> . This property is subject to procedures relating to forfeitures in 7 CFR 356.1 - 356.9.								
2. DESCRIPTION OF PROPERTY								
Common Name		Scientific Name				Number of Plants or Parts		
Bigleaf mahogany		Swietenia macrophylla				15.2 cubic meters		
3. DESCRIPTION OF PROPERTY OTHER THAN PLANTS. (Include any identifying numbers) Dimension mahogany lumber; 8 bundles are stenciled with "ITT" (International Tropical Timber) in red on the end grain. Bill of lading MOLU-6758326-A-02								
4. THIS PROPERTY WAS SEIZED BECAUSE The owner attempted to import without the required CITES document THIS WAS IN VIOLATION OF <u>16 USC 1538(c)(1) 50CFR 23.12(a)(3)</u>								
5. APPRAISED VALUE \$ <u>14,700</u> BASIS OF APPRAISAL <u>Retail value</u>								
6. NAME OF PERSONS KNOWN TO HAVE AN INTEREST IN THE ARTICLES SEIZED		INSERT DATE IN BLOCKS THAT APPLY						
		PPQ 623 SIGNED	PPQ 624 SENT	PPQ 625		PPQ 626		PPQ 627 SENT
				Sent	Received	Sent	Received	
Frederick Hartman			7-7-04			7-7-04		
7. RECORD OF STEPS COMPLETED								
						DATE	TIME	INITIALS
a. PPQ 624 Posted .....								
b. PPQ 624 Removed (a. + 21 days) .....								
c. Deadline for receiving PPQ <del>626</del> <sup>625</sup> (a. + 20 days) .....								
d. PPQ 627 Declaration of Forfeiture prepared and sent (not before c.) .....								
e. Property placed in custody of U.S. Dept. of Interior for final disposition according to law (not before d.) .....								
five								
Retain this form and copies of PPQ Forms 623, 624 (Part 1), 625, and 627 and any other documents applicable to this shipment for <del>two</del> <sup>five</sup> years.								
PPQ FORM 624 (JAN 92)								
<b>PART 4 - PPQ PORT WORKSHEET</b>								

FIGURE A-9 Example of Modified PPQ Form 624, Notice of Seizure, Part 4 Worksheet (for seizures over \$10,000 value)

## Purpose

The modified PPQ Form 624, Notice of Seizure, *Part 4*, is used as a worksheet for seizures over \$10,000 value to have a record of the appraised value and appraisal source, which forms have been sent and received, and who was notified.

## Instructions

Modify PPQ Form 624, Part 4, as shown in [Table A-7](#) below.

**TABLE A-7 Instructions for Modified PPQ Form 624, Notice of Seizure, *Part 4* Worksheet (for seizures over \$10,000 value)**

Block		Instructions
NOTICE OF SEIZURE...		Verify the form's title has been modified to "Notice of Seizure"
FILE NO.		Verify <i>Blocks 1</i> through <i>4</i> of <i>Part 4</i> are already filled in (during the process of completing <i>Part 1</i> )
1	The property...	
2	DESCRIPTION OF PROPERTY	
3	DESCRIPTION OF PROPERTY...	
4	THIS PROPERTY WAS SEIZED BECAUSE THIS WAS IN VIOLATION OF	
5	APPRAISED VALUE	List the appraised value from <i>Block 6</i> of <i>Part 1</i>
	BASIS OF APPRAISAL	List the source of the appraisal (see <a href="#">Step 3: Estimate the Retail Value of the Timber or Articles Moving in Violation of the Legislation</a> on <b>page 4-6</b> )
6	NAME OF PERSONS KNOWN TO HAVE AN INTEREST IN THE ARTICLE SEIZED	List the names of all persons believed to be owners or to have an interest in the seized material
	<b>INSERT DATE IN BLOCKS THAT APPLY</b>	
	PPQ 623 SIGNED	<b>Not</b> applicable; leave blank
	PPQ 624 SENT	List date mailed
	PPQ 625 SENT/RECEIVED	<b>Not</b> applicable; leave blank
	PPQ 626 SENT/RECEIVED	List date sent to and received back from violator
	PPQ 627 SENT	<b>Not</b> applicable; leave blank

**TABLE A-7 Instructions for Modified PPQ Form 624, Notice of Seizure, *Part 4* Worksheet (for seizures over \$10,000 value) (continued)**

Block	Instructions
7	RECORD OF STEPS COMPLETED
a. PPQ 624 Posted	Leave blank
b. PPQ 624 Removed (a + 20 days)	Leave blank
c. Deadline for receiving PPQ 626 (a + 20 days)	Modify this block by crossing out "626" and adding "625"; leave remainder blank
d. PPQ Form 627 Declaration of Forfeiture prepared and sent ( <b>not</b> before c.)	Leave blank
e. Property placed in custody of CBP or USDA	Leave blank
Retain this form and copies of PPQ Form 623, 624 (Part 1), 625, and 627 and any other documents applicable to this shipment for two years	Modify this statement by crossing out or lining out the word "two" and add the word "five"

### Distribution and Retention of Modified PPQ Form 624 (Part 4, Worksheet)

#### Distribution for Seizures Over \$10,000 Value

For seizures over \$10,000 value, distribute and retain the modified PPQ Form 624, *Part 4* as follows:

1. Make a photocopy of the **modified** *Part 4*.
2. Assemble the following documents:
  - ❖ Modified PPQ Form 624, *Part 4* **photocopy** and *Part 1* **original**
  - ❖ Narrative report **original** from CBP-AI or PPQ Officer
  - ❖ Corresponding documents that accompanied the shipment

and send by **Overnight** shipment to the CITES and Plant Inspection Coordinator at the following address:

CITES and Plant Inspection Station Coordinator  
USDA-APHIS-PPQ  
4700 River Road, Unit 60  
Riverdale, MD 20737-1236

3. File the **original** *Part 4* along with *Part 2* of PPQ Form 624 in the port file and retain for 5 years.

**FIGURE A-10 Example of PPQ Form 625, Claim and Bond**

## Purpose

PPQ form 625, Claim and Bond, is used for seizures \$10,000 or less value as part of a legal process in which the owner of seized property attempts to regain custody of the property.



A bonded release will **not** be made if such an action would frustrate the purpose of the Act or Convention. As an example, 7CFR 356 **does not** allow the release of CITES regulated plants that are without the documentation required under 50CFR Chapter I.

## Instructions

The PPQ Officer lists the Port file number in the block titled "FILE NO." **Do not** complete any other blocks on this form.

If the owner decides to file a Claim and Bond, then the owner will complete the form.

## Distribution of PPQ Form 625

### Seizures \$10,000 or Less Value

If the owner or owner's agent signs PPQ Form 623, then PPQ Form 625 is **not** sent.

If the owner or owner's agent is present and will **not** sign PPQ Form 623 or is **not** present, then send PPQ Form 625, Claim and Bond, together with the following documents, by **Certified or Registered Mail with Return Receipt Requested** to the owner or owner's agent at the last known address:

- ◆ PPQ Form 623, Waiver of Forfeiture Procedures by Owner of Seized Property
- ◆ *Part 3* of PPQ Form 624, Notice of Seizure and Proposed Forfeiture
- ◆ PPQ Form 626, Petition for Remission or Mitigation of Forfeiture



If multiple owners or agents are identified, then you may send photocopies of the required forms in lieu of the actual forms.

## PPQ Form 626, Petition for Remission or Mitigation of Forfeiture

Filing of this petition is required for remission or mitigation of seized property. Information will be used in determining whether the petition is granted or denied (7 CFR 356).		FORM APPROVED OMB NO. 0579-0076	
According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is 0579-0076. The time required to complete this information collection is estimated to average .50 minutes/hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information.			
U.S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE		FILE NO.  Miami 04-02	
<b>PETITION FOR REMISSION OR MITIGATION OF FORFEITURE</b>			
TO:  <div style="border-bottom: 1px solid black; width: 80%; margin-left: 40px;"></div> USDA-APHIS Plant Protection and Quarantine  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <div style="border-bottom: 1px solid black; width: 80%; margin-left: 40px;"></div> <div style="text-align: center; font-size: small;">City</div> </div> <div style="width: 45%;"> <div style="border-bottom: 1px solid black; width: 80%; margin-left: 40px;"></div> <div style="text-align: center; font-size: small;">State and Zip Code</div> </div> </div>		1. DATE AND TIME OF SEIZURE   <hr/> 2. PLACE OF SEIZURE	
3. DESCRIPTION OF PROPERTY			
4. NAME AND ADDRESS OF PETITIONER			
5. EVIDENCE OF YOUR INTEREST IN THE PROPERTY SUCH AS CONTRACTS, BILLS OF SALE, INVOICES, CERTIFICATES OF TITLE, ETC., (Please attach copies of any documents)			
6. STATEMENT OF ALL FACTS AND CIRCUMSTANCES RELIED UPON BY THE PETITIONER TO JUSTIFY REMISSION OR MITIGATION OF THE FORFEITURE			
7. SIGNATURE OF PETITIONER OR PETITIONERS ATTORNEY AT LAW (If a business, the signature must be that of a partner, officer, or attorney at law)			8. DATE SIGNED

**FIGURE A-11 Example of PPQ Form 626, Petition for Remission or Mitigation of Forfeiture**



## Purpose

PPQ Form 626, Petition for Remission or Mitigation of Forfeiture, can be used by the owner or owner's agent in the process of attempting to have the Deputy Administrator grant relief of the forfeited property. This form is used for violations of both seizures of \$10,000 or less in value and seizures greater than \$10,000 value.



Remission and mitigation will **not** be made if such an action would frustrate the purpose of the Act or Convention. As an example, 7CFR 356 **does not** allow for remission or mitigation with respect to CITES regulated plants that are without the documentation required under 50CFR Chapter I.

## Instructions

The PPQ Officer lists the Port file number in the block labeled *FILE NO.* **Do not** complete any remaining blocks on this form. (If the owner decides to file the petition, then the owner completes the form.)

## Distribution of PPQ Form 626

### Seizures \$10,000 or Less Value

For seizures \$10,000 or less value if the owner signs PPQ Form 623, then PPQ Form 626 is **not** sent.

If the owner or owner's agent is present and **did not** sign PPQ Form 623 or is **not** present, then the CBP-AI or PPQ Officer will send PPQ Form 626, Petition for Remission or Forfeiture, together with the following documents, by **Certified** or **Registered Mail** with **Return Receipt Requested** to all persons believed to be owners or agents:

- ◆ PPQ Form 623, Waiver of Forfeiture Procedures
- ◆ PPQ Form 624, Notice of Seizure and Proposed Forfeiture, *Part 3*
- ◆ PPQ Form 625, Claim and Bond

Keep or make a copy for the port file prior to sending



If multiple owners or agents are identified, then you may send photocopies of the identified forms in lieu of the actual forms or blocks.

**Seizures Over  
\$10,000 Value**

For seizures over \$10,000 value, the CBP-AI or PPQ Officer will send PPQ Form 626, Petition for Mitigation of Forfeiture, together with PPQ Form 624, Notice of Seizure and Proposed Forfeiture, *Part 3*, by **Certified or Registered Mail with Return Receipt Requested** to all persons believed to be owners or agents at the last known address.



If multiple owners or agents are identified, then you may send photocopies of the identified forms in lieu of the actual forms or blocks.

## PPQ Form 627, Declaration of Forfeiture

This example below is for seizures \$10,000 or less value.

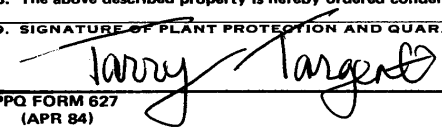
U. S. DEPARTMENT OF AGRICULTURE ANIMAL AND PLANT HEALTH INSPECTION SERVICE PLANT PROTECTION AND QUARANTINE DECLARATION OF FORFEITURE		FILE NO.  Miami 04-02
<p>1. The property described below was seized by the U. S. Department of Agriculture on (date) <u>07/06/04</u> at (time) <u>1330</u> at (place) <u>Pier 12, Port of Miami</u> and is now in the custody of the Officer in Charge of Plant Protection and Quarantine, at <u>Miami, Florida</u>. This property is subject to procedures relating to forfeitures in 7 CFR 356.1 - 356.9.</p>		
2. DESCRIPTION OF PROPERTY		
Common Name	Scientific Name	Number of Plants or Parts
Ramin	Gonystylus sp.	1.158 cubic meters
<p>3. DESCRIPTION OF PROPERTY OTHER THAN PLANTS (Include any identifying numbers)</p> <p style="padding-left: 40px;">Wooden dowels, 100,000 pieces, 100 boxes, marked: Order No. 04-07643</p>		
<p>4. THIS PROPERTY WAS SEIZED BECAUSE</p> <p style="padding-left: 40px;">The owner attempted to import without the required CITES document.</p>		
<p>THIS WAS IN VIOLATION OF <u>16 USC 1538(c)(1), 50CFR 23.11, 50 CFR 23.12(a)(iii)</u></p>		
<p>5. A NOTICE OF SEIZURE AND PROPOSED FORFEITURE WAS POSTED AT THE PLANT PROTECTION AND QUARANTINE OFFICE</p> <p>AT (location) <u>Miami, Florida</u> FROM (date &amp; time) <u>07/06/04 1430</u></p> <p>TO (date &amp; time) <u>07/27/04 1430</u></p>		
<p>6. COPIES OF THE NOTICE WERE MAILED OR HANDED TO THE FOLLOWING PERSONS (Show alleged interest in seized property)</p> <p style="padding-left: 40px;">Henry Pattison, Owner, H.P. Hardwood, Inc.</p>		
<p>7. In response to the above stated notice, no proper claim and bond were received within the 20 days specified in 7 CFR 356.4(c)(2). Therefore, all potential claimants are deemed to admit the truth of the allegations of the notice.</p>		
<p>8. The above described property is hereby ordered condemned and is forfeited to the United States of America for disposition according to law.</p>		
<p>9. SIGNATURE OF PLANT PROTECTION AND QUARANTINE OFFICER</p> <p style="text-align: center;"></p>		<p>10. DATE</p> <p style="text-align: center;"><u>07/27/04</u></p>
<p>PPQ FORM 627 (APR 84)</p>		<p>PART 1 - PPQ PORT FILE</p>

FIGURE A-12 Example of PPQ Form 627, Declaration of Forfeiture

## Purpose

PPQ Form 627, Declaration of Forfeiture, is used to take custody of seized material that is \$10,000 or less in value.

## Instructions

### Seizures \$10,000 or Less Value

For forfeitures \$10,000 or less value, complete PPQ Form 627 as directed in [Table A-8](#).

**TABLE A-8 Instructions for Completing PPQ Form 627, Declaration of Forfeiture**

Block	Instructions
FILE NO.	List the port file number (see <a href="#">Filing System for Violations, Seizures, and Forfeitures</a> )
1 The property...	List in the appropriate blanks the date, time, place, city, and State where the property was seized
2 DESCRIPTION OF PROPERTY	
Common Name	List the common name of the article/wood seized
Scientific Name	List the scientific name of the article/wood seized
Number of Plants or Parts	List the number of plants or parts seized (see <a href="#">Conversion Formulas</a> )
3 DESCRIPTION OF PROPERTY...	1. Modify this block by crossing out or lining out the words "OTHER THAN PLANTS" 2. Describe the article seized
4 THIS PROPERTY WAS SEIZED BECAUSE	List the reasons the articles were seized
THIS WAS IN VIOLATION OF	List the CFR section and USC section of the regulation violated (see <a href="#">List of Violations</a> on <a href="#">page A-3</a> , <a href="#">Figure A-1</a> )
5 A NOTICE OF SEIZURE AND PROPOSED FORFEITURE WAS POSTED AT THE PLANT PROTECTION AND QUARANTINE OFFICE	List the location the notice was posted
AT	List the location the notice was posted (city, State)
FROM	List the date and time the notice was posted
TO	List the date and time the notice was removed

**TABLE A-8 Instructions for Completing PPQ Form 627, Declaration of Forfeiture (continued)**

Block		Instructions
6	COPIES OF THE NOTICE WERE MAILED OR HANDED TO THE FOLLOWING PERSONS	<p>1. List each person's name, interest in property, and business name that copies of the notice were mailed or given to</p> <p>2. If the owner or owner's agent requests a copy of PPQ Form 627, make a photocopy and give the owner or owner's agent the photocopy. You <b>must</b> also send the owner or owner's agent the <b>original</b> PPQ Form 627 by <b>Certified</b> or <b>Registered Mail</b> with <b>Return Receipt Requested</b> to comply with regulations</p>
7	In response....	Leave blank; <b>do not</b> write in this block
8	The above...	Leave blank; <b>do not</b> write in this block
9	SIGNATURE OF PLANT PROTECTION AND QUARANTINE OFFICER	CBP-AI or PPQ Officer signs this block
10	Date	List the date signed

### **Distribution and Retention of PPQ Form 627**

After 21 days, distribute and retain PPQ Form 627 as follows:

- ◆ File *Part 1* in the port file and retain for 5 years
- ◆ Send *Part 2* and *Part 3* by **Certified** or **Registered Mail** with **Return Receipt Requested**, to the owner or owners of the seized material at their last known address



If the owner or owner's agent requests a copy of PPQ Form 627, then make a photocopy and give the owner or owner's agent the photocopy. You **must** also send the **original** *Parts 2* and *3* to the owner or owner's agent by **Certified** or **Registered Mail** with **Return Receipt Requested**, to comply with regulations.



If multiple owners or agents are identified, then you may send photocopies of the identified forms in lieu of the actual forms or blocks.





# Appendix B

## *Resolutions of CITES Conference of the Parties*

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### Contents

Introduction **page B-1**

Conference Resolution 10.13 Implementation of the Convention for Timber Species **page B-1**

Addendum to Conference Resolution 10.13 **page B-3**

Conference Resolution 12.3, Permits and Certificates **page B-4**

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### Introduction

This appendix contains text of two current CITES Conference Resolutions which apply to CITES Appendix I, Appendix II, and Appendix III Protected Timber Species. The CITES Conference is a biennial gathering of CITES member countries where the members review how a treaty is working, resolve policy issues, and determine which lists of species need amending.

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### Conference Resolution 10.13 Implementation of the Convention for Timber Species

An excerpt from Conference Resolution 10.13, Implementation of the Convention for Timber Species, is shown in **Figure B-1**. To view all CITES Conference Resolutions, go to the following URL:

<<http://www.cites.org/eng/resols/index.shtml>>

**Regarding parts and derivatives**

c) the following definitions be applied with respect to annotations in the CITES Appendices:

i) Logs

All wood in the rough, whether or not stripped of bark or sapwood, or roughly squared, for processing notably into sawn wood, pulpwood or veneer sheets (HS code 44.03);

ii) Sawn wood

Wood simply sawn lengthwise or produced by a profile-chipping process. Sawn wood normally exceeds 6mm in thickness (HS code 44.06, HS code 44.07); and

iii) Veneer sheets

Thin layers or sheets of wood of uniform thickness, usually 6 mm or less, usually peeled or sliced, for use in making plywood, for veneering furniture, veneer containers, etc. (HS code 44.08); and

d) for the purpose of annotations to the Appendices for parts and derivatives of species traded as timber, definitions to be used should, to the extent possible, be based on the tariff classifications of the Harmonized System of the World Customs Organization;

[See [Addendum to Conference Resolution 10.13](#) on [page B-3](#)]

**Regarding amendment proposals for timber species**

e) proposals for the inclusion of timber species in Appendix II or III indicate clearly which parts and derivatives should be regulated; and

f) where these parts and derivatives are not logs, sawn wood and veneer sheets, the proponent also propose the relevant amendment to Resolution Conf. 12.3 if the procedures for extending the period of validity of, and/or changing the destination on, the export permit or re-export certificate should apply;

**Regarding the definition of artificially propagated**

g) timber taken from trees grown in monospecific plantations be considered as being artificially propagated in accordance with the definition contained in Resolution Conf. 11.11

**FIGURE B-1 Excerpt from CITES Conference Resolution 10.13, Implementation of the Convention for Timber Species**



### **Addendum to Conference Resolution 10.13**

The definition and applicable HS codes for plywood listed in **Figure B-2** were proposed and accepted by the Convention and will be included as an addendum to Conference Resolution 10.13.

Plywood is defined as:

consisting of three or more sheets of wood glued and pressed one on the other and generally disposed so that the grains of successive layers are at an angle.

<b>SUB-CODE</b>	<b>PRODUCT DESCRIPTION</b>
4412.13	Plywood consisting solely of sheets of wood, each ply not exceeding 6 mm in thickness, and with at least one outer ply of tropical wood specified in subheading note 1 to this chapter*
4412.14	Plywood consisting solely of sheets of wood, each ply not exceeding 6 mm in thickness, and with at least one outer ply of non-coniferous wood
4412.22	Other (meaning one ply, or more, that is greater than 6 mm in thickness), with at least one outer ply of non-coniferous wood, and with at least one ply of tropical wood specified in subheading note 1 to this chapter *

\*Subheading Note 1: For the purposes of subheadings 4403.41 to 443.49, 4407.24 to 440729, 4408.31 to 4408.39, and 4412.13 to 4412.99, the expression tropical wood means one of the following types of wood: Abura, Acajou d'Afrique, Afrormosia, Ako, Alan, Andiroba, Aningre, Avodire, Azobe, Balau, Balsa, Bosse Clair, Bosse Fonce, Cativo, Cedro, Dabema, Dark Red Meranti, Dibetou, Doussie, Framire, Freijo, Fromager, Fuma, Geronggang, Ilomba, Imbuia, Ipe, Iroko, Jaboty, Jelutong, Jequitiba, Jongkong, Kapur, Kempas, Keruing, Kosipo, Kotibe, Koto, Light Red Meranti, Limba, Louro, Macaranduba, Mahogany, Makore, Mandioquiera, Mansonia, Mengkulang, Meranti Bakau, Merawan, Merbau, Merpauh, Mersawa, Moabi, Niangon, Nyatoh, Obeche, Okoume, Onzabili, Orey, Ovengkol, Ozigo, Padauk, Paldao, Palissandre de Guatemala, Palissandre de Para, Palissandre de Rio, Palissandre de Rose, Pau Amarelo, Pau Marfim, Pulai, Punah, Quaruba, Ramin, Sapelli, Saqui-Saqui, Sepetir, Sipo, Sucupira, Suren, Teak, Tauari, Tiama, Tola, Virola, White Lauan, White Meranti, White Seraya, Yellow Meranti.

**FIGURE B-2 Addendum to Conference Resolution Document 10.13**

## Conference Resolution 12.3, Permits and Certificates

An excerpt from Conference Resolution 12.3, Permits and Certificates, is shown in **Figure B-3**. To view all CITES Conference Resolutions, go to the following URL: <<http://www.cites.org/eng/resols/index.shtml>>.

### **I. Regarding standardization of CITES permits and certificates**

AGREES that:

- a) to fulfil the requirements of Article VI of the Convention and relevant Resolutions, export and import permits, re-export and pre-Convention certificates, certificates of origin and certificates of captive breeding and artificial propagation (except where phytosanitary certificates are used for this purpose) should include all the information specified in Annex 1 of the present Resolution;
- b) every form should be printed in one or more of the working languages of the Convention (English, Spanish, French) and in the national language if it is not one of the working languages;
- c) every form should indicate which type of document it is (e.g. import or export permit, re-export or pre-Convention certificate, etc.);
- d) if a permit or certificate form includes a place for the signature of the applicant, the absence of the signature should render the permit or certificate invalid; and
- e) if an annex is attached to a permit or certificate as an integral part of it, this and the number of pages should be clearly indicated on the permit or certificate, and each page of the annex should include the following:
  - i) the number of the permit or certificate and its date of issue; and
  - ii) the signature and the stamp or seal, preferably embossed, of the authority issuing the document; and

RECOMMENDS that:

- a) Parties wishing to modify their permit and certificate forms, to reprint existing documents or to introduce new documents, first ask the Secretariat for advice;
- b) Parties adapt the contents and, to the extent practicable, the format of their permits and certificates to the standard form attached to the present Resolution as Annex 2;
- c) for tracking and annual reporting purposes, permit and certificate numbers be limited, if possible, to 14 characters in the format:

WWxxYYYYYY/zz

where WW represents the last two digits of the year of issuance; xx represents the two-letter ISO code of the country; YYYYYY represents a six-digit serial number; and zz represents two digits or letters, or a combination of a digit and a letter, that a Party may use for national informational purposes;

- d) Parties state, on each of their permits and certificates, the purpose of the transaction using the following codes:

**T** Commercial

**Z** Zoos

**G** Botanical gardens

**FIGURE B-3 Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 1 of 11)**

**Q** Circuses and travelling exhibitions

**S** Scientific

**H** Hunting trophies

**P** Personal

**M** Medical (including biomedical research)

**E** Educational

**N** Reintroduction or introduction into the wild

**B** Breeding in captivity or artificial propagation

**L** Law enforcement / judicial / forensic;

e) the following codes be used to indicate the source of the specimens:

**W** Specimens taken from the wild

**R** Specimens originating from a ranching operation

**D** Appendix-I animals bred in captivity for commercial purposes and Appendix-I plants artificially propagated for commercial purposes, as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 4, of the Convention

**A** Plants that are artificially propagated in accordance with Resolution Conf. 11.11, paragraph a), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5, of the Convention (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)

**C** Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5, of the Convention (specimens of species included in Appendix I that have been bred in captivity for non-commercial purposes and specimens of species included in Appendices II and III)

**F** Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of 'bred in captivity' in Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof

**U** Source unknown (**must be justified**)

**I** Confiscated or seized specimens

**O** Pre-Convention specimens;

f) in cases where codes are used on permits and certificates to indicate the type of specimen, these conform to the codes provided in the Secretariat's most recent *Guidelines for the preparation and submission of annual reports* and that the units of measurement used also conform to these Guidelines;

FIGURE B-4 Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 2 of 11)

- g) all Parties consider issuing permits and certificates printed on security paper;
- h) Parties that do not already do so affix a security stamp to each permit and certificate;
- i) when a security stamp is affixed to a permit or certificate, it be cancelled by a signature and a stamp or seal, preferably embossed and the number of the stamp also be recorded on the document;
- j) when issuing permits and certificates, the Parties follow the standard nomenclatures adopted by the Conference of the Parties to indicate the names of species (see Resolution Conf. 12.11);
- k) Parties that have not yet done so communicate to the Secretariat the names of the persons empowered to sign permits and certificates, as well as three specimens of their signatures, and that all the Parties communicate, within one month of any change thereto, the names of persons who have been added to the list of those already empowered to sign, the names of persons whose signatures are no longer valid and the dates the changes took effect;
- l) when the means of transport used requires a bill of lading or an air way-bill, the number of such document be stated on the permit or certificate;
- m) each Party inform the other Parties, direct or through the Secretariat, of any stricter internal measures it has taken under Article XIV, paragraph 1 (a), of the Convention, and that, when a Party is informed of this, it refrain from issuing permits and certificates that run counter to these measures;
- n) when a permit or certificate has been cancelled, lost, stolen or destroyed, the issuing Management Authority immediately inform the Management Authority of the country of destination, as well as the Secretariat regarding commercial shipments; and
- o) when a permit or certificate is issued to replace a document that has been cancelled, lost, stolen or destroyed, or that has expired, it indicate the number of the replaced document and the reason for the replacement;

## **II. Regarding export permits and re-export certificates**

AGREES that a re-export certificate should also specify:

- a) the country of origin, the number of the export permit of the country of origin and its date of issue; and
  - b) the country of last re-export, the number of the re-export certificate of that country and its date of issue;
- or if the case arises:
- c) justification for the omission of any of the aforementioned information; and

RECOMMENDS that:

- a) exported specimens and re-exported specimens not appear on the same document, unless it is clearly indicated which specimens are being exported and which re-exported;

**FIGURE B-5 Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 3 of 11)**

b) when re-export certificates are issued for specimens whose form has not changed since being imported, the unit of measure used be the same as that used on the permit or certificate accepted when they were imported;

c) the provisions of Article III, paragraph 3, Article IV, paragraph 4, Article V, paragraph 3, and Article VI, paragraph 2, of the Convention be understood to mean that an export permit or re-export certificate shall be valid for a period of no more than six months from the date on which it was granted and that it may not be accepted to authorize export, re-export or import except during the period of validity;

d) after the expiry of the said six-month period of validity, an export permit or re-export certificate be considered as void and of no legal value whatsoever, except in the case referred to in section XI relating to timber species;

e) no export permit or re-export certificate be issued for a specimen known to have been acquired illegally, even if it has been imported in accordance with the national legislation, unless the specimen has previously been confiscated; and

f) Parties not authorize the import of any specimen if they have reason to believe that it was not legally acquired in the country of origin;

### **III. Regarding import permits**

AGREES that an import permit for specimens of species included in Appendix I may carry, among other things, certification that the specimens will not be used for primarily commercial purposes and, in the case of live specimens, that the recipient has suitable facilities to house and care for them; and

RECOMMENDS that:

a) the provisions of Article III, paragraphs 2 and 4, of the Convention be understood to mean that an import permit shall be valid for a period of not more than 12 months from the date on which it was granted and that it may not be accepted to authorize import except during the period of validity; and

b) after the expiry of the said 12-month period of validity, an import permit be considered as void and of no legal value whatsoever;

### **IV. Regarding pre-Convention certificates**

AGREES that a pre-Convention certificate should also specify:

a) that the specimen covered by the certificate is pre-Convention; and

b) the date of acquisition of the specimen as defined in Resolution Conf. 5.11 adopted at the fifth meeting of the Conference of the Parties (Buenos Aires, 1985);

### **V. Regarding certificates of origin**

RECOMMENDS that:

a) certificates of origin for export of specimens of species listed in Appendix III only be issued by a designated Management Authority or by the competent authority if trade is from a State not a Party to the Convention, and that Parties not accept certificates of origin unless they are issued by such authorities;

**FIGURE B-6 Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 4 of 11)**

b) the provisions of Article V, paragraph 3, of the Convention be understood to mean that a certificate of origin shall be valid for a period of not more than 12 months from the date on which it was granted, and that it may not be accepted to authorize export or import except during the period of validity; and

c) after the expiry of the said 12-month period of validity, a certificate of origin be considered as void and of no legal value whatsoever;

#### **VI. Regarding travelling-exhibition certificates**

##### **RECOMMENDS that:**

a) each Party issue a travelling-exhibition certificate for CITES specimens belonging to a travelling exhibition based in its State, registered with the Management Authority and wishing to transport specimens of CITES species to other States for exhibition purposes only, on the condition that they were legally acquired and will be returned to the State in which the exhibition is based and that they were:

i) acquired before 1 July 1975 or before the date of inclusion of the species in any of the Appendices of the Convention;

ii) bred in captivity as defined in Resolution Conf. 10.16 (Rev.); or

iii) artificially propagated as defined in Resolution Conf. 11.11;

b) travelling-exhibition certificates should be based on the model included in Annex 3 of the present Resolution. They should be printed in one or more of the working languages of the Convention (English, French, Spanish) and in the national language if it is not one of these;

c) travelling-exhibition certificates should contain the purpose code 'Q' and include in block 5, or in another block if the model form is not used, the following language: "The specimen/s covered by this certificate may not be sold or otherwise transferred in any State other than the State in which the exhibition is based and registered. This certificate is non-transferable. If the specimen/s dies, is/are stolen, destroyed, lost, sold or otherwise transferred, this certificate must be immediately returned by the owner to the issuing Management Authority";

d) a separate travelling exhibition certificate must be issued for each live animal;

e) for travelling exhibitions of specimens other than live animals, the Management Authority should attach an inventory sheet that contains all of the information in blocks 9 through 16 of the model form for each specimen;

f) travelling-exhibition certificates should be valid for not more than three years from the date on which they were granted to allow multiple imports, exports and re-exports of the individual specimens that they cover;

g) Parties consider such travelling-exhibition certificates as proof that the specimens concerned have been registered with the issuing Management Authority and allow the movement of such specimens across their borders;

h) at each border crossing, Parties endorse travelling-exhibition certificates with an authorized stamp and signature by the inspecting official and allow the certificates to remain with the specimens;

**FIGURE B-7 Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 5 of 11)**

- i) Parties check travelling exhibitions closely, at the time of export/re-export and import, and note especially whether live specimens are transported and cared for in a manner that minimizes the risk of injury, damage to health or cruel treatment;
- j) Parties require that specimens be marked or identified in such a way that the authorities of each State into which an exhibition enters can verify that the travelling-exhibition certificates correspond to the specimens being imported;
- k) when, during a stay in a State, an animal in possession of an exhibition gives birth, the Management Authority of that State be notified and issue a Convention permit or certificate as appropriate;
- l) when, during a stay in a State, a travelling-exhibition certificate for a specimen is lost, stolen or accidentally destroyed, only the Management Authority which has issued the document may issue a duplicate. This duplicate will bear the same number, if possible, and the same date of validity as the original document, and contain the following statement: "This certificate is a true copy of the original"; and
- m) Parties include in their annual reports a list of all travelling-exhibition certificates issued in the year concerned;

#### **VII. Regarding phytosanitary certificates**

##### **RECOMMENDS that:**

- a) any Party having considered the practices governing the issue of its phytosanitary certificates for export of artificially propagated Appendix-II specimens, and having determined that such practices provide adequate assurance that the specimens are artificially propagated (as defined in Resolution Conf. 11.11), may consider these documents as certificates of artificial propagation in accordance with Article VII, paragraph 5, of the Convention. Such certificates must include the scientific name of the species and the type and quantity of the specimens and bear a stamp, seal or other specific indication stating that the specimens are artificially propagated as defined by CITES;
- b) any Party using phytosanitary certificates as certificates of artificial propagation inform the Secretariat and provide copies of the certificates, stamps, seals, etc. that are used; and
- c) phytosanitary certificates be used exclusively for the purpose of export from the country of artificial propagation of the specimens concerned;

#### **VIII. Regarding permits and certificates for species subject to quotas**

##### **RECOMMENDS that:**

- a) when a Party has voluntarily fixed national export quotas for specimens of species included in Appendix I, for non-commercial purposes, and/or in Appendices II and III, it inform the Secretariat of the quotas before issuing export permits and of any changes thereto as soon as they are made and it state on each export permit the total number of specimens already exported in the current year (including those covered by the permit in question) and the quota for the species concerned;
- b) when a Party has export quotas allocated by the Conference of the Parties for specimens of species included in Appendices I and II, it state on each export permit the total number of specimens already exported in the current year (including those covered by the permit in question) and the quota for the species concerned; and

**FIGURE B-8 Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 6 of 11)**



- c) Parties send to the Secretariat copies of permits issued for species subject to quotas if so requested by the Conference of the Parties, the Standing Committee or the Secretariat;

**XI. Regarding permits and certificates for timber species included in Appendices II and III with the annotation 'Designates logs, sawn wood and veneer sheets'**

RECOMMENDS that the validity of the export permit or re-export certificate may be extended beyond the normal maximum of six months after the date of issue, on the condition that:

- a) the shipment has arrived in the port of final destination before the date of expiration indicated on the permit or certificate and is being held in Customs bond (i.e. is not considered as imported);
- b) the time extension does not exceed six months from the date of expiration of the permit or certificate and no previous extension has been granted;
- c) the appropriate enforcement personnel has included the date of arrival and the new date of expiration in the box relating to special conditions, or an equivalent place, on the export permit or re-export certificate, certifying the modification with an official stamp or seal and signature;
- d) the shipment is imported for consumption from the port where it was located when the extension was approved and before the new date of expiration; and
- e) a copy of the export permit or re-export certificate as amended in accordance with sub-paragraph c) above is sent to the country of export or re-export, allowing it to amend its annual report, and to the CITES Secretariat; and

FURTHER RECOMMENDS that any permit or certificate that indicates the complete names and addresses of the (re-)exporter and importer, in conformity with Annex 1, paragraph d), to this Resolution, not be accepted for import into a country other than the one for which it was issued, except under the following conditions:

- a) the actual quantity of specimens exported or re-exported is included in the designated box on the permit or certificate, certified by the stamp or seal and signature of the authority that carried out the inspection at the time of export or re-export;
- b) the exact quantity referred to under a) is imported;
- c) the number of the bill of lading of the shipment is included on the permit or certificate;
- d) the bill of lading of the shipment is presented to the Management Authority together with the original of the permit or certificate at the time of import;
- e) the import takes place within six months after the issue of the export permit or re-export certificate or within 12 months after the issue of a certificate of origin;
- f) the period of validity of the permit or certificate has not already been extended;
- g) the Management Authority of the importing country includes on the permit or certificate, in the box relating to special conditions, or an equivalent place, the following text, certified by its stamp or seal and signature:  
  
"import into [name of country] permitted in accordance with Resolution Conf. 12.3 (section XI) on [date]"; and

**FIGURE B-9 Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 7 of 11)**



h) a copy of the permit or certificate as amended in accordance with sub-paragraph g) above is sent to the country of export or re-export, allowing it to amend its annual report, and to the CITES Secretariat;

## **XII. Regarding the use of simplified procedures to issue permits and certificates**

RECOMMENDS that:

a) Parties use simplified procedures to issue permits and certificates to facilitate and expedite trade that will have a negligible impact, or none, on the conservation of the species concerned, e.g.:

i) where biological samples of the type and size specified in Annex 4 of this Resolution are urgently required:

A. in the interest of an individual animal;

B. in the interest of the conservation of the species concerned or other species listed in the Appendices;

C. for judicial or law enforcement purposes;

D. for the control of diseases transferable between species listed in the Appendices; or

E. for diagnostic or identification purposes;

ii) for the issuance of pre-Convention certificates in accordance with Article VII, paragraph 2, of the Convention;

iii) for the issuance of certificates of captive breeding or artificial propagation in accordance with Article VII, paragraph 5, of the Convention or for the issuance of export permits or re-export certificates in accordance with Article IV of the Convention for specimens referred to in Article VII, paragraph 4; and

iv) in other cases judged by a Management Authority to merit the use of simplified procedures;

b) Parties, in order to simplify procedures concerning the issuance of permits and certificates under the circumstances outlined above:

i) maintain a register of persons and bodies that may benefit from simplified procedures, as well as the species that they may trade under the simplified procedures;

ii) provide to registered persons and bodies partially completed permits and certificates that remain valid for a period of up to six months for export permits, 12 months for import permits or re-export certificates, and three years for pre-Convention certificates and certificates of captive breeding or artificial propagation; and

iii) authorize the registered persons or bodies to enter specific information on the face of the CITES document when the Management Authority has included in box 5, or an

**FIGURE B-10 Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 8 of 11)**

A. a list of the boxes that the registered persons or bodies are authorized to complete for each shipment; if the list includes scientific names, the Management Authority must have included an inventory of approved species on the face of the permit or certificate or in an attached annex;

B. any special conditions; and

C. a place for the signature of the person who completed the document;

c) concerning trade in biological samples of the type and size specified in Annex 4 of this Resolution, where the purpose is among those specified in paragraph a) of this section, permits and certificates be accepted that were validated at the time the documents were granted, rather than at the time a shipment was exported or re-exported provided that the container bears a label, such as a Customs label, that specifies 'CITES Biological Samples' and the CITES document number; and

d) when processing applications for the export of biological samples of the type and size and for the use specified in Annex 4 to this Resolution, Scientific Authorities develop generic non-detriment advice that would cover multiple shipments of such biological samples, taking into account the impacts of the collection of the specimens of species included in Appendix I or II to determine whether the export or import of biological samples would be detrimental to the survival of the species;

### **XIII. Regarding retrospective issue of permits and certificates**

RECOMMENDS that:

a) a Management Authority of an exporting or re-exporting country:

i) not issue CITES permits and certificates retrospectively;

ii) not provide exporters, re-exporters and/or consignees in importing countries with declarations about the legality of exports or re-exports of specimens having left its country without the required CITES documents; and

iii) not provide exporters, re-exporters and/or consignees in importing countries with declarations about the legality of permits or certificates which at the time of export, re-export or import did not meet the requirements of the Convention;

b) a Management Authority of an importing country, or of a country of transit or transshipment, not accept permits or certificates that were issued retrospectively;

c) exceptions from the recommendations under a) and b) above not be made with regard to Appendix-I specimens, and be made with regard to Appendix-II and -III specimens only where the Management Authorities of both the exporting (or re-exporting) and the importing countries are, after a prompt and thorough investigation in both countries and in close consultation with each other, satisfied:

i) that the irregularities that have occurred are not attributable to the exporter (or re-exporter) or the importer; and

ii) that the export (or re-export) and import of the specimens concerned are otherwise in compliance with the Convention and with the relevant legislation of the countries of export (or re-export) and import; and

**FIGURE B-11 Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 9 of 11)**

d) whenever exceptions are made:

- i) the permit or certificate clearly indicate that it is issued retrospectively; and
- ii) the reasons for the relaxation, which should come within the purview of paragraph c), sub-paragraphs i) and ii) above, are specified on the permit or certificate and a copy sent to the Secretariat; and

#### **XIV. Regarding acceptance and clearance of documents and security measures**

RECOMMENDS that:

- a) the Parties refuse to accept permits and certificates if they have been altered (by rubbing out, scratching out, etc.), modified or crossed out, unless the alteration, modification or crossing-out has been authenticated by the stamp and signature of the authority issuing the document;
- b) whenever irregularities are suspected, the Parties exchange issued and/or accepted permits or certificates to verify their authenticity;
- c) when a security stamp is affixed to a permit or certificate, the Parties refuse the document if the security stamp is not cancelled by a signature and a stamp or seal;
- d) the Parties refuse to accept any permit or certificate that is invalid, including authentic documents that do not contain all the required information as specified in this Resolution or that contain information that brings into question the validity of the permit or certificate;
- e) the Parties refuse to accept permits and certificates that do not indicate the scientific name of the species concerned (including subspecies when appropriate), except in the case where:
  - i) the Conference of the Parties has agreed that the use of higher-taxon names is acceptable;
  - ii) the issuing Party can show it is well justified and has communicated the justification to the Secretariat;
  - iii) certain manufactured products contain pre-Convention specimens that can not be identified to the species level; or
  - iv) worked skins or pieces thereof of *Tupinambis* species that were imported before 1 August 2000 are being re-exported, in which case it is sufficient to use the indication *Tupinambis* spp.;
- f) when a Party refuses to accept a permit or certificate, it keep the original or, if this is against its national laws, it cancel the document indelibly, preferably by perforation, particularly the security stamp;
- g) when a Party refuses to accept a permit or certificate issued for export or re-export, it immediately inform the exporting or re-exporting country;
- h) when a Party is informed that a permit or certificate it has issued for export or re-export has been refused, it take measures to ensure that the specimens in question do not enter into illegal trade; and

**FIGURE B-12 Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 10 of 11)**

i) Parties ensure that, when the original of a permit or certificate is not used by the permittee for the trade authorized, it is returned by the permittee to the issuing Management Authority in order to prevent the illegal use of the document; and

REPEALS the Resolutions listed hereunder:

- a) Resolution Conf. 8.16 (Kyoto, 1992) – Travelling live-animal exhibitions; and
- b) Resolution Conf. 10.2 (Rev.) (Harare, 1997, as amended at Gigiri, 2000) – Permits and certificates.

**FIGURE B-13 Excerpt from CITES Conference Resolution 12.3, Permits and Certificates (page 11 of 11)**

## Annex 1, Information That Should Be Included in CITES Permits and Certificates

### Annex 1 Information that should be included in CITES permits and certificates

- a) The full name and the logo of the Convention
- b) The complete name and address of the Management Authority issuing the permit
- c) A unique control number
- d) The complete names and addresses of the exporter and importer
- e) The scientific name of the species to which the specimens belong (or the subspecies when it is relevant in order to determine in which Appendix the taxon concerned is included) in accordance with the adopted standard nomenclature
- f) The description of the specimens, in one of the Convention's three working languages, using the nomenclature of specimens distributed by the Secretariat
- g) The numbers of the marks appearing on the specimens if they are marked or if a Resolution of the Conference of the Parties prescribes marking (specimens from ranches, subject to quotas approved by the Conference of the Parties, originating from operations which breed animals included in Appendix I in captivity for commercial purposes, etc.)
- h) The Appendix in which the species or subspecies or population is listed
- i) The source of the specimens
- j) The quantity of specimens and, if appropriate, the unit of measure used
- k) The date of issue and the date of expiry
- l) The name of the signatory and his/her handwritten signature
- m) The embossed seal or ink stamp of the Management Authority
- n) A statement that the permit, if it covers live animals, is only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in case of air transport, with the IATA Live Animals Regulations
- o) The registration number of the operation, attributed by the Secretariat, when the permit involves specimens of a species included in Appendix I that originate from an operation practising breeding in captivity or artificial propagation for commercial purposes (Article VII, paragraph 4, of the Convention), and the name of the operation when it is not the exporter
- p) The actual quantity of specimens exported, certified by the stamp or seal and signature of the authority that carried out the inspection at the time of the exportation
- q) When specimens are marked with microchip transponders, all microchip codes, together with the trade mark of the transponder manufacturer, and, where possible, the location of the microchip in the specimen

#### ***To be included in certificates of origin only***

- r) A statement that the specimens originate in the country that issued the certificate***

FIGURE B-14 Annex 1, Information That Should Be Included in CITES Permits and Certifications

## Annex 2, Standard CITES Form

<b>CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA</b>		<b>PERMIT/CERTIFICATE No.</b> <input type="checkbox"/> EXPORT <input type="checkbox"/> RE-EXPORT <input type="checkbox"/> IMPORT <input type="checkbox"/> OTHER:		<b>Original</b>  2. Valid until											
3. Importer (name and address)		4. Exporter/re-exporter (name, address and country)													
3a. Country of import															
5. Special conditions  <i>For live animals, this permit or certificate is only valid if the transport conditions conform to the Guidelines for Transport of Live Animals or, in the case of air transport, to the IATA Live Animals Regulations</i>		6. Name, address, national seal/stamp and country of Management Authority													
5a. Purpose of the transaction (see reverse)      5b. Security stamp no.															
7./8. Scientific name (genus and species) and common name of animal or plant		9. Description of specimens, including identifying marks or numbers (age/sex if live)		10. Appendix no. and source (see reverse)											
11. Quantity (including unit)		11a. Total exported/Quota		SAMPLE											
A 12. Country of origin * Permit no.      Date		12a. Country of last re-export      Certificate no.      Date				12b. No. of the operation ** or date of acquisition ***									
B 12. Country of origin * Permit no.      Date		12a. Country of last re-export      Certificate no.      Date				12b. No. of the operation ** or date of acquisition ***									
C 12. Country of origin * Permit no.      Date		12a. Country of last re-export      Certificate no.      Date				12b. No. of the operation ** or date of acquisition ***									
D 12. Country of origin * Permit no.      Date		12a. Country of last re-export      Certificate no.      Date				12b. No. of the operation ** or date of acquisition ***									
* Country in which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export) ** Only for specimens of Appendix-I species bred in captivity or artificially propagated for commercial purposes *** For pre-Convention specimens															
13. This permit/certificate is issued by:  <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div>Place</div> <div>Date</div> <div>Security stamp, signature and official seal</div> </div>															
14. Export endorsement:		15. Bill of Lading/Air waybill number:													
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 20%;">Block</th> <th style="width: 20%;">Quantity</th> </tr> </thead> <tbody> <tr><td>A</td><td></td></tr> <tr><td>B</td><td></td></tr> <tr><td>C</td><td></td></tr> <tr><td>D</td><td></td></tr> </tbody> </table>		Block	Quantity	A		B		C		D		<div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div>Port of export</div> <div>Date</div> <div>Signature</div> <div>Official stamp and title</div> </div>			
Block	Quantity														
A															
B															
C															
D															

**CITES PERMIT/CERTIFICATE No.**

**FIGURE B-15 Annex 2, Standard CITES Form (front)**



### Instructions and explanations

(These correspond to block numbers on the form)

1. Tick the square which corresponds to the type of document issued (export permit, re-export certificate, import permit or other). If the box "other" has been ticked, the type of document must be indicated. The original number is a unique number allocated to each document by the Management Authority.
  2. For export permits and re-export certificates, the date of expiry of the document may not be more than six months after the date of issuance (one year for import permits).
  3. Complete name and address of the importer.
  - 3a. The name of the country must be written in full.
  4. Complete name and address of the exporter/re-exporter. The name of the country must be stated. The absence of the signature of the applicant renders the permit or certificate invalid.
  5. Special conditions may refer to national legislation or special conditions placed on the shipment by the issuing Management Authority. This block can also be used to justify the omission of certain information.
  - 5a. The following codes should be used: **T** for commercial, **Z** for zoos, **G** for botanical gardens, **Q** for circuses and travelling exhibitions, **S** for scientific purposes, **H** for hunting trophies, **P** for personal, **M** for medical, **E** for education, **N** for reintroduction or introduction into the wild, and **B** for breeding in captivity or artificial propagation, **L** for law enforcement / judicial / forensic.
  - 5b. Indicate the number of the security stamp affixed in block 13.
  6. The name, address and country of the issuing Management Authority should already be printed on the form.
  - 7-8. Indicate the scientific name (genus and species, where appropriate subspecies) of the animal or plant as it appears in the Convention Appendices or the reference lists approved by the Conference of the Parties, and the common name of the animal or plant as known in the country issuing the permit.
  9. Describe, as precisely as possible, the specimens entering trade (live animals, skins, flanks, wallets, shoes, etc.). If a specimen is marked (tags, identifying marks, rings, etc.), whether or not this is required by a Resolution of the Conference of the Parties (specimens originating in a ranching operation, specimens subject to quotas approved by the Conference of the Parties, specimens of Appendix-I species bred in captivity for commercial purposes, etc.), indicate the number and type of mark. The sex and age of the live animals should be recorded, if possible.
  10. Enter the number of the Appendix of the Convention (I, II or III) in which the species is listed.  
Use the following codes to indicate the source:  
**W** = Specimens taken from the wild  
**R** = Specimens originating from a ranching operation  
**D** = Appendix-I animals bred in captivity for commercial purposes and Appendix-I plants artificially propagated for commercial purposes, as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 4, of the Convention  
**A** = Plants that are artificially propagated in accordance with Resolution Conf. 11.11, paragraph a), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)  
**C** = Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been bred in captivity for non-commercial purposes and specimens of species included in Appendices II and III)  
**F** = Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of 'bred in captivity' in Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof  
**U** = Source unknown (must be justified)  
**I** = Confiscated or seized specimens  
**O** = Pre-Convention (may be used with other source codes).
  11. The quantity and units indicated should conform to the most recent version of the *Guidelines for the preparation and submission of annual reports*.
  - 11a. Indicate the total number of specimens exported in the current calendar year (including those covered by the present permit) and the current annual quota for the species concerned (for example 500/1000). This should be done for the national quotas as well as for those determined by the Conference of the Parties.
  12. The country of origin is the country in which the specimens were taken from the wild, bred in captivity or artificially propagated. Indicate the number of the permit or certificate of the exporting country and the date of issuance. If all or part of the information is not known, this should be justified in block 5. This block must only be completed in case of re-exports.
  - 12a. The country of last re-export is the country from which the specimens were re-exported before entering the country in which the present document is issued. Enter the number of the re-export certificate of the country of last re-export and its date of issuance. If all or part of the information is not known, this should be justified in block 5. This block must only be completed in case of re-export of specimens previously re-exported.
  - 12b. The "No. of the operation" is the number of the registered captive-breeding or artificial propagation operation. The "date of acquisition" is defined in Resolution Conf. 5.11 and is required only for pre-Convention specimens.
  13. To be completed by the official who issues the permit. The name of the official must be written in full. The security stamp must be affixed in this block and must be cancelled by the signature of the issuing official and a stamp or seal. The seal, signature and security-stamp number should be clearly legible.
  14. To be completed by the official who inspects the shipment at the time of export or re-export. Enter the quantities of specimens actually exported or re-exported. Strike out the unused blocks.
  15. Enter the number of the bill of lading or air way-bill if the method of transport used requires the use of such a document.
- The document must be written in one of the three working languages of the Convention (English, Spanish or French) or must include a full translation into one of these three languages. Exported and re-exported specimens should not appear on the same document unless it is clearly indicated which specimens are being exported and which re-exported.
- AFTER USE THIS DOCUMENT MUST BE RETURNED TO A MANAGEMENT AUTHORITY OF THE IMPORTING COUNTRY.

FIGURE B-16 Annex 2, Standard CITES Form (back)







# Appendix C

## Conversion Formulas

### Contents

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Cubic Feet of Lumber to Cubic Meters	page C-2
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Conversion Formula for Dowel Rods	page C-4

### Conversion Formulas for Timber and Timber Products

Use the following formulas to assist you with verifying that the quantity recorded on the CITES Permit or Certificate matches the quantity invoiced on the accompanying shipping documents.

These conversions should also be made by the importer or exporter so the total quantity of CITES regulated material recorded on the shipping documents is expressed in the same unit of measurement found on the CITES Permit or Certificate.

#### Board Feet of Lumber to Cubic Meters

There are 424 board feet per cubic meter. To convert board feet of lumber to cubic meters, divide the board feet of lumber by 424 board feet. See the equation in [Figure C-1](#) below.

$$\frac{\text{Total board feet of lumber}}{424 \text{ board feet}} = \text{cubic meters of lumber}$$

**FIGURE C-1** Formula to Convert Board Feet of Lumber to Cubic Meters

Some countries may express board feet in pie tablares (PT.). Since 1 PT. is equal to one board foot, change the total PT. to total board feet of lumber, then continue using the formula in [Figure C-1](#) above to convert to cubic meters of lumber.

#### EXAMPLE

A shipment of 1000 board feet of lumber arrives at your port. The following calculation would convert this shipment to cubic meters of lumber:

$$\frac{(1000 \text{ board feet of lumber})}{(424 \text{ board feet})} = 2.36 \text{ cubic meters of lumber}$$

### **Cubic Feet of Lumber to Cubic Meters**

The conversion of cubic feet of lumber to cubic meters may be difficult because the formula depends upon the multiplication of the number of square meters and the thickness of wood, which could be variable. In this case, the CBP-AI or PPQ Officer should have the permittee perform the conversion and then have the permittee supply the BCPB-AI or PPQ Officer with a copy of calculations. See [Figure C-2](#) for the conversion formula.

Cubic feet of lumber = (lumber length in feet) x (lumber width in feet) and  
(lumber thickness in feet) = (lumber thickness in inches/12)

**FIGURE C-2 Formula to Convert Cubic Feet of Lumber to Cubic Meters**

#### **EXAMPLE**

A shipment of 10,000 square feet of lumber approximately 1 inch thick arrives at your port. Use of the following calculation would convert this shipment to cubic meters:

$$\frac{(10,000 \text{ square feet of lumber}) \times 1 \times (0.02832)}{12} = 23.6 \text{ cubic meters}$$

---

## **Conversion Formulas for Veneer**

### **Square Feet of Veneer to Square Meters**

Use the formula below to convert square feet of veneer to square meters.

Where: (square feet of veneer) = (length of veneer in feet) x (width of veneer in feet)  
(square feet of veneer) x (0.0929) = square meters of veneer

**FIGURE C-3 Formula to Convert Square Feet of Veneer to Square Meters**

#### **EXAMPLE**

A shipment of 25,000 square feet of veneer arrives at your port. The following calculation would convert this shipment to square meters:

$$(25,000 \text{ square feet of veneer}) \times (0.0929) = 2322.5 \text{ square meters}$$

## Square Meters of Veneer to Cubic Meters

Use the following formula to convert square meters of veneer to cubic meters.

$$(\text{Square meters of veneer}) \times (\text{Veneer thickness in meters}) = \text{Cubic meters of veneer}$$

**FIGURE C-4 Formula to Convert Square Meters of Veneer to Cubic Meters**



**Important**

Where: (square meters of Veneer) =  
(length of veneer in meters) x (width of veneer in meters)

veneer thickness in meters = (veneer thickness in millimeters) / 1000

This is a difficult conversion because it depends upon the multiplication of the number of square meters and the thickness of wood, which could be variable. In this case, have the permittee perform the conversion and provide you with a copy of the calculations.

### EXAMPLE

A shipment of 25,000 square meters of veneer 0.6 millimeters thick arrives at your port. The following calculation would convert this shipment to cubic meters:

$$(25,000 \text{ square meters of veneer}) \times \frac{(0.6) \text{ meter}}{1000} = 15 \text{ cubic meters of veneer}$$

## Cubic Feet of Veneer to Cubic Meters

To convert cubic feet of veneer to cubic meters, use the following formula.

$$(\text{cubic feet of veneer}) \times (\text{veneer thickness in feet}) \times (0.02832) = \text{cubic meters of veneer}$$

**FIGURE C-5 Formula to Convert Cubic Feet of Veneer to Cubic Meters**



**Important**

Where: (cubic feet of veneer) = (length of veneer in feet) x (width of veneer in feet) and veneer thickness in feet =  
(veneer thickness in a fraction of an inch) / 12

This is a difficult conversion because it depends upon the multiplication of the number of cubic feet and the thickness of wood, which could be variable. In this case, have the permittee perform the conversion and provide you with a copy of the calculations.

### EXAMPLE

A shipment of 25,000 square meters of veneer 1/16 of an inch thick arrives at your port. The following calculation to convert this shipment to cubic meters.

$$(25,000 \text{ square meters of veneer}) \times \frac{((1/16))}{12} =$$

$$130.21 \text{ square feet} \times 0.02832 = 3.687 \text{ cubic meters}$$

---

## Conversion Formula for Dowel Rods

### Volume of a Cylinder in Inches to Cubic Meters

To convert cubic inches of dowel to cubic meters, use the formula in [Figure C-6](#).

$$(\text{Cubic inches of dowel}) \times (.0000164) = \text{cubic meters of dowel}$$

**FIGURE C-6 Formula to Convert Volume of a Cylinder in Inches to Cubic Meters**



Where volume of cylinder in cubic inches =

$$\pi (3.14) \times (\text{radius of dowel in inches})^2 \times (\text{length of dowel in inches}) \times (\text{total number of dowels})$$

### EXAMPLE

A shipment of containing 100,000 ramin dowels (each measure 1/4 inch in diameter by 16 inches in length) arrives at your port. The following calculation converts this shipment to cubic meters:

$$\text{Radius} = 1/2 \text{ diameter}$$

$$R = 1/4 = .25 \times 1/2 = .125$$

$$(3.14) \times (.125)^2 \times 16 \text{ inches} \times 100,000 = 78,500 \text{ cubic inches of dowel}$$

$$(78,500 \text{ cubic inches of dowel}) \times (.0000164) = 1.287 \text{ cubic meters of dowel}$$



# Appendix D

## *CITES Documents*

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## **Introduction**

This appendix provides an example of a standard CITES permit, examples of USFWS-issued CITES certificates, and examples of selected CITES permits and certificates from countries you will most likely encounter. These examples are intended to assist the CBP-AI and PPQ Officer with verifying that the documents presented to them are authentic.



## FWS Form 3-201A CITES Other Certificate (Pre-Convention)

CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		Page 1 of 1	
<input type="checkbox"/> EXPORT PERMIT <input type="checkbox"/> RE-EXPORT CERTIFICATE <input checked="" type="checkbox"/> OTHER CERTIFICATE (see block 9)		1. Original Permit/Certificate No. <b>04US082599/9</b> 2. Valid until <b>08/22/2004</b>	
3. Permittee (name and address, country)		4. Consignee (name and address, country)	
5. Special Conditions MUST COMPLY WITH ATTACHED GENERAL CONDITIONS FOR PLANTS. MUST EXPORT THROUGH A USDA OR CUSTOMS AND BORDER PROTECTION DESIGNATED PORT. PERMIT MUST BE VALIDATED BY THE USDA OR CUSTOMS AND BORDER PROTECTION PRIOR TO EXPORT. MUST MEET JAPANESE IMPORT REQUIREMENTS.  <i>For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.</i>		5a. Purpose of Transaction <b>T</b> 5b. Security No. <b>027972</b> 6. U.S. Management Authority DIVISION OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA  <b>02/23/2004</b> Issuing Date United States Management Authority AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)	
Common Name and Scientific name (genus and species) of Animal or Plant A. Common Name <b>BRAZILIAN ROSEWOOD</b> Scientific Name <b>DALBERGIA NIGRA</b>		9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live) <b>PRE-CONVENTION: GUITARS WITH BRAZILIAN ROSEWOOD FINGERBOARDS; 1965 FENDER ELECTRIC, STRATOCASTER, SERIAL # 137897; 1964 FENDER ELECTRIC, STRATOCASTER, SERIAL # L35936.</b>	
12. Country of Origin <b>UNKNOWN</b>		10. Appendix No. and Source <b>1 W</b>	
12a. Country of Last Re-export		11. Quantity (including units) <b>2</b> <b>NO</b>	
12b. Breeding Operation No.		11a. Total Exported/Quota	
12c. Pre-Convention: Date of Acquisition <b>1964, 1965</b>		10. Quantity (including units) <b>11</b>	
12d. Pre-Convention: Date of Acquisition		11a. Total Exported/Quota	
13. Export / Re-export Endorsement: The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.		14. Bill of Lading/Air Way-Bill Number <b>MOLU-1675436-03</b> Port of Exportation / Re-exportation <b>JAMAICA, NEW YORK</b> Total No. of Shipping Containers <b>2 CINS</b>	
See Block 7 Quantity A <b>2 (two)</b> B		15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block. <b>RELEASED</b> <b>JFKIA--JAMAICA, NY</b> <b>USDA, APHIS, PPQ</b> <b>Pauland 1/15/2</b> <b>MARCH 6, 2004</b> <b>ADWIS-P</b>	

FIGURE D-1 Example of FWS CITES Other Certificate (Pre-Convention) (printed on security paper)

## FWS Cover Letter to CITES Re-export Certificate Permittee



### United States Department of the Interior

FISH AND WILDLIFE SERVICE  
Washington, D.C. 20210

Dear Bigleaf Mahogany re-export permittee:

Enclosed is your U.S. CITES re-export certificate. **Please be sure to read the permit conditions and use the re-export certificate correctly, as follows:**

- Make a copy of the U.S. re-export certificate.
- On the U.S. re-export certificate copy, complete:  
Block 4: Write in the name and address of the Consignee on the copy.  
**Block 5: Write the shipment number. Each shipment must have a unique number in this blank.**  
Block 11: Write in the quantity (must be in cubic meters) being re-exported.  
Block 12: Write in the name of the Country from whom you imported the lumber (ex. Bolivia, Peru, etc.); write in the Country of origin CITES permit or certificate number and the date the country of origin permit or certificate was issued. This must be the CITES permit or certificate that the lumber was imported under.  
  
**Note:** List only one Country of origin CITES document on each copy of the U.S. re-export certificate. You can have multiple re-export certificates validated for a shipment. You must list the exact Country of Origin CITES document under which material was imported on the re-export certificate.
- Attach a copy of the Country of origin CITES permit or certificate of origin to the U.S. CITES re-export certificate. Please note the country of origin CITES document should have been stamped USDA/APHIS/PPQ "Inspected and Released". If you are concerned about the Consignee seeing the name of your supplier on the attached Country of origin CITES document you may redact (black out) their name and address on the copy.
- Make an additional copy of the completed U.S. re-export certificate, with the attached country of origin CITES document, that will be mailed to our office by the USDA/APHIS/PPQ Inspecting official. You may also want to make a copy for your records.
- Have the U.S. re-export certificate copies validated by a USDA/APHIS/PPQ Inspecting official: one to accompany the shipment and one to be mailed to our office.
- Your U.S. re-export is only valid for a 6 month period (see block 2 for the expiration date of your certificate). Your re-export certificate must be valid for you to re-export bigleaf mahogany lumber. A renewal application may be obtained from <http://forms.fws.gov>, form 3-200-52. Please allow 30 days for the processing of the renewal.

If you have questions, contact Amy Brisendine, at the Division of Management Authority, 4401 North Fairfax Drive, Room 700, Arlington, Virginia 22203, (703-358-2441).

FIGURE D-2 Example of FWS Re-export Certificate Cover Letter to Permittee



## FWS Form 3-201A, CITES Re-export Certificate


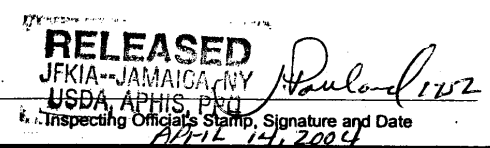
FORM 3-201A (1/97)		CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		<input type="checkbox"/> EXPORT PERMIT <input checked="" type="checkbox"/> RE-EXPORT CERTIFICATE <input type="checkbox"/> OTHER CERTIFICATE (see block 9)		Page 1 of 1							
3. Permittee (name and address, country)				4. Consignee (name and address, country)									
5. Special Conditions • MUST COMPLY WITH ATTACHED GENERAL PERMIT CONDITIONS FOR PLANTS. • MUST EXPORT THROUGH A USDA DESIGNATED PORT. • CERTIFICATE MAY BE COPIED FOR MULTIPLE SHIPMENTS; PERMITTEE TO RETAIN ORIGINAL. • PERMITTEE MUST: A. ON CERTIFICATE COPY, COMPLETE BLOCKS 4, 11 (QUANTITY), AND 12 (COUNTRY OF ORIGIN, PERMIT#, DATE OF ISSUE) B. ATTACH A COPY OF THE CITES DOCUMENT USED TO IMPORT WOOD INTO THE U.S.; C. LIST SHIPMENT # _____; AND D. HAVE COMPLETED COPY OF U.S. RE-EXPORT CERTIFICATE VALIDATED BY THE USDA PRIOR TO EACH SHIPMENT. • QUANTITY IN BLOCK 11 MUST BE REPORTED IN CUBIC METERS (M3). THIS AMENDS AND REPLACES 03US812188/9 ISSUED 9/26/03.  <i>For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.</i>				5a. Purpose of Transaction T		5b. Security No. US9267M							
6. U.S. Management Authority  DIVISION OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA   02/23/2004 Issuing Date				United States Management Authority AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)									
Common Name and Scientific name (genus and species) of Animal or Plant  A. Common Name HOLYWOOD LIGNUM VITAE  Scientific Name GUAIAECUM SANCTUM		9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)  9. RE-EXPORT: DIMENSION LUMBER.		10. Appendix No. and Source  10. 2 W 11. Quantity (including units) 57 M3 11a. Total Exported/Quota									
12. Country of Origin MEXICO		Permit/Certificate No. A04675		Date of Issue 01/15/2004		12b. Breeding Operation No.							
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue		12c. Pre-Convention: Date of Acquisition							
B. Common Name BIGLEAF MAHOGANY  Scientific Name SWIETENIA MACROPHYLLA		9. RE-EXPORT: DIMENSION LUMBER.		10. 2 W 11. Quantity (including units) 1.6 M3 11a. Total Exported/Quota									
12. Country of Origin PERU		Permit/Certificate No. 06432		Date of Issue 01/27/2004		12b. Breeding Operation No.							
12a. Country of Last Re-export		Re-export Certificate No.		Date of Issue		12c. Pre-Convention: Date of Acquisition							
13. Export / Re-export Endorsement: The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.		14. Bill of Lading/Air Way-Bill Number 47632157-0  Port of Exportation / Re-exportation JAMAICA, New York Total No. of Shipping Containers (1) ONE		15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block.  									
<table border="1"> <thead> <tr> <th>See Block 7</th> <th>Quantity</th> </tr> </thead> <tbody> <tr> <td>A</td> <td>51 M3</td> </tr> <tr> <td>B</td> <td>1.6 M3</td> </tr> </tbody> </table>		See Block 7	Quantity	A	51 M3	B	1.6 M3						
See Block 7	Quantity												
A	51 M3												
B	1.6 M3												

FIGURE D-3 Example of USFWS Form 3-201A, CITES Re-export Certificate (with Special Conditions)

## FWS CITES Special Permit Condition


 <small>ADDRESS ONLY THE DIRECTOR FISH AND WILDLIFE SERVICE</small>	<h3>United States Department of the Interior</h3> <p><b>FISH AND WILDLIFE SERVICE</b> Washington, D.C. 20240</p>
	<b>PRT-032756</b>
 <b>SPECIAL PERMIT CONDITION</b>  <b>BRAVO International Hardwoods</b>	
<ol style="list-style-type: none"><li>1. Permittee must attach copies of the Country of origin CITES permit or certificate, under which the lumber was imported, to the copy of U.S. CITES re-export certificate. The copies of the Country of origin CITES document should have the USDA-APHIS-PPQ Inspected &amp; Released stamp. To protect proprietary business information, the permittee may redact the supplier's name and address on the Country of origin document copy which is attached to the U.S. re-export certificate accompanying the shipment.</li><li>2. A copy of the Country of origin CITES document, with the USDA-APHIS-PPQ Inspected &amp; Released stamp, must also be attached to the copy of the U.S. re-export certificate that is mailed to the Division of Management Authority by the inspecting official.</li><li>3. List only one Country of origin CITES document on each copy of the U. S. re-export certificate and attach the corresponding copy of the Country of origin CITES document.</li><li>4. On the U.S. re-export certificate copy, complete: Block 4: Write in the name and address of the Consignee on the copy. Block 5: Write the shipment number. Each shipment must have a unique number in this blank. Block 11: Write in the quantity (must be in cubic meters) being re-exported. Blocks 12: Write in the name of the Country from whom you imported the lumber (ex. Bolivia, Brazil, etc.); write in the Country of origin CITES permit or certificate number and the date the country of origin permit or certificate was issued. This must be the CITES permit or certificate that the lumber was imported under.</li></ol>	
<hr style="width: 100px; margin: 0 auto;"/> <b>DATE</b>	<hr style="width: 200px; margin: 0 auto;"/> <b>BRANCH OF PERMITS U.S. MANAGEMENT AUTHORITY</b>

FIGURE D-4 Example of FWS CITES Special Permit Condition

## Information That Should Be Included in CITES Permits and Certificates

Information that should be included in CITES permits and certificates is listed in [Figure D-5](#) below. For further information in regards to Conference Resolution 12.3, see [Conference Resolution 12.3, Permits and Certificates](#) on page B-4.

### Annex 1

#### Information that should be included in CITES permits and certificates

- a) The full name and the logo of the Convention
  - b) The complete name and address of the Management Authority issuing the permit
  - c) A unique control number
  - d) The complete names and addresses of the exporter and importer
  - e) The scientific name of the species to which the specimens belong (or the subspecies when it is relevant in order to determine in which Appendix the taxon concerned is included) in accordance with the adopted standard nomenclature
  - f) The description of the specimens, in one of the Convention's three working languages, using the nomenclature of specimens distributed by the Secretariat
  - g) The numbers of the marks appearing on the specimens if they are marked or if a Resolution of the Conference of the Parties prescribes marking (specimens from ranches, subject to quotas approved by the Conference of the Parties, originating from operations which breed animals included in Appendix I in captivity for commercial purposes, etc.)
  - h) The Appendix in which the species or subspecies or population is listed
  - i) The source of the specimens
  - j) The quantity of specimens and, if appropriate, the unit of measure used
  - k) The date of issue and the date of expiry
  - l) The name of the signatory and his/her handwritten signature
  - m) The embossed seal or ink stamp of the Management Authority
  - n) A statement that the permit, if it covers live animals, is only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in case of air transport, with the IATA Live Animals Regulations
  - o) The registration number of the operation, attributed by the Secretariat, when the permit involves specimens of a species included in Appendix I that originate from an operation practising breeding in captivity or artificial propagation for commercial purposes (Article VII, paragraph 4, of the Convention), and the name of the operation when it is not the exporter
  - p) The actual quantity of specimens exported, certified by the stamp or seal and signature of the authority that carried out the inspection at the time of the exportation
  - q) When specimens are marked with microchip transponders, all microchip codes, together with the trade mark of the transponder manufacturer, and, where possible, the location of the microchip in the specimen
- To be included in certificates of origin only**
- r) A statement that the specimens originate in the country that issued the certificate

**FIGURE D-5 Information That Should Be Included in CITES Permits and Certificates (Annex 1 to Conference Resolution 12.3)**

## Standard CITES Form


Annex 2		Standard CITES form													
 <b>CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA</b>		<b>PERMIT/CERTIFICATE No.</b> <input type="checkbox"/> EXPORT <input type="checkbox"/> RE-EXPORT <input type="checkbox"/> IMPORT <input type="checkbox"/> OTHER:		Original											
				2. Valid until											
3. Importer (name and address)		4. Exporter/re-exporter (name, address and country)  _____ Signature of the applicant													
3a. Country of import															
5. Special conditions  <i>For live animals, this permit or certificate is only valid if the transport conditions conform to the Guidelines for Transport of Live Animals or, in the case of air transport, to the IATA Live Animals Regulations</i>		6. Name, address, national seal/stamp and country of Management Authority													
5a. Purpose of the transaction (see reverse)		5b. Security stamp no.													
7./8. Scientific name (genus and species) and common name of animal or plant		9. Description of specimens, including identifying marks or numbers (age/sex if live)		10. Appendix no. and source (see reverse)											
				11. Quantity (including unit)											
				11a. Total exported/Quota											
A	7./8.	9.	10.	11.	11a.										
	12. Country of origin * Permit no. Date		12a. Country of last Certificate no. Date re-export		12b. No. of the operation ** or date of acquisition ***										
B	7./8.	9.	10.	11.	11a.										
	12. Country of origin * Permit no. Date		12a. Country of last Certificate no. Date re-export		12b. No. of the operation ** or date of acquisition ***										
C	7./8.	9.	10.	11.	11a.										
	12. Country of origin * Permit no. Date		12a. Country of last Certificate no. Date re-export		12b. No. of the operation ** or date of acquisition ***										
D	7./8.	9.	10.	11.	11a.										
	12. Country of origin * Permit no. Date		12a. Country of last Certificate no. Date re-export		12b. No. of the operation ** or date of acquisition ***										
* Country in which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export) ** Only for specimens of Appendix-I species bred in captivity or artificially propagated for commercial purposes *** For pre-Convention specimens															
13. This permit/certificate is issued by:															
_____ Place Date Security stamp, signature and official seal															
14. Export endorsement: 15. Bill of Lading/Air waybill number:															
<table border="1"> <thead> <tr> <th>Block</th> <th>Quantity</th> </tr> </thead> <tbody> <tr> <td>A</td> <td></td> </tr> <tr> <td>B</td> <td></td> </tr> <tr> <td>C</td> <td></td> </tr> <tr> <td>D</td> <td></td> </tr> </tbody> </table>						Block	Quantity	A		B		C		D	
Block	Quantity														
A															
B															
C															
D															
_____ Port of export Date Signature Official stamp and title															
CITES PERMIT/CERTIFICATE No.															

FIGURE D-6 Example of Standard CITES Form (front) (Annex 2, Conference Resolution 12.3)



## Instructions and explanations

(These correspond to block numbers on the form)

1. Tick the square which corresponds to the type of document issued (export permit, re-export certificate, import permit or other). If the box "other" has been ticked, the type of document must be indicated. The original number is a unique number allocated to each document by the Management Authority.
2. For export permits and re-export certificates, the date of expiry of the document may not be more than six months after the date of issuance (one year for import permits).
3. Complete name and address of the importer.
- 3a. The name of the country must be written in full.
4. Complete name and address of the exporter/re-exporter. The name of the country must be stated. The absence of the signature of the applicant renders the permit or certificate invalid.
5. Special conditions may refer to national legislation or special conditions placed on the shipment by the issuing Management Authority. This block can also be used to justify the omission of certain information.
- 5a. The following codes should be used: **T** for commercial, **Z** for zoos, **G** for botanical gardens, **Q** for circuses and travelling exhibitions, **S** for scientific purposes, **H** for hunting trophies, **P** for personal, **M** for medical, **E** for education, **N** for reintroduction or introduction into the wild, and **B** for breeding in captivity or artificial propagation, **L** for law enforcement / judicial / forensic.
- 5b. Indicate the number of the security stamp affixed in block 13.
6. The name, address and country of the issuing Management Authority should already be printed on the form.
- 7-8. Indicate the scientific name (genus and species, where appropriate subspecies) of the animal or plant as it appears in the Convention Appendices or the reference lists approved by the Conference of the Parties, and the common name of the animal or plant as known in the country issuing the permit.
9. Describe, as precisely as possible, the specimens entering trade (live animals, skins, flanks, wallets, shoes, etc.). If a specimen is marked (tags, identifying marks, rings, etc.), whether or not this is required by a Resolution of the Conference of the Parties (specimens originating in a ranching operation, specimens subject to quotas approved by the Conference of the Parties, specimens of Appendix-I species bred in captivity for commercial purposes, etc.), indicate the number and type of mark. The sex and age of the live animals should be recorded, if possible.
10. Enter the number of the Appendix of the Convention (I, II or III) in which the species is listed.  
Use the following codes to indicate the source:  
**W** Specimens taken from the wild  
**R** Specimens originating from a ranching operation  
**D** Appendix-I animals bred in captivity for commercial purposes and Appendix-I plants artificially propagated for commercial purposes, as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 4, of the Convention  
**A** Plants that are artificially propagated in accordance with Resolution Conf. 11.11, paragraph a), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been propagated artificially for non-commercial purposes and specimens of species included in Appendices II and III)  
**C** Animals bred in captivity in accordance with Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof, exported under the provisions of Article VII, paragraph 5 (specimens of species included in Appendix I that have been bred in captivity for non-commercial purposes and specimens of species included in Appendices II and III)  
**F** Animals born in captivity (F1 or subsequent generations) that do not fulfil the definition of 'bred in captivity' in Resolution Conf. 10.16 (Rev.), as well as parts and derivatives thereof  
**U** Source unknown (must be justified)  
**I** Confiscated or seized specimens  
**O** Pre-Convention (may be used with other source codes).
11. The quantity and units indicated should conform to the most recent version of the *Guidelines for the preparation and submission of annual reports*.
- 11a. Indicate the total number of specimens exported in the current calendar year (including those covered by the present permit) and the current annual quota for the species concerned (for example 500/1000). This should be done for the national quotas as well as for those determined by the Conference of the Parties.
12. The country of origin is the country in which the specimens were taken from the wild, bred in captivity or artificially propagated. Indicate the number of the permit or certificate of the exporting country and the date of issuance. If all or part of the information is not known, this should be justified in block 5. This block must only be completed in case of re-exports.
- 12a. The country of last re-export is the country from which the specimens were re-exported before entering the country in which the present document is issued. Enter the number of the re-export certificate of the country of last re-export and its date of issuance. If all or part of the information is not known, this should be justified in block 5. This block must only be completed in case of re-export of specimens previously re-exported.
- 12b. The "No. of the operation" is the number of the registered captive-breeding or artificial propagation operation. The "date of acquisition" is defined in Resolution Conf. 5.11 and is required only for pre-Convention specimens.
13. To be completed by the official who issues the permit. The name of the official must be written in full. The security stamp must be affixed in this block and must be cancelled by the signature of the issuing official and a stamp or seal. The seal, signature and security-stamp number should be clearly legible.
14. To be completed by the official who inspects the shipment at the time of export or re-export. Enter the quantities of specimens actually exported or re-exported. Strike out the unused blocks.
15. Enter the number of the bill of lading or air way-bill if the method of transport used requires the use of such a document.

The document must be written in one of the three working languages of the Convention (English, Spanish or French) or must include a full translation into one of these three languages. Exported and re-exported specimens should not appear on the same document unless it is clearly indicated which specimens are being exported and which re-exported.

AFTER USE THIS DOCUMENT MUST BE RETURNED TO A MANAGEMENT AUTHORITY OF THE IMPORTING COUNTRY.

FIGURE D-7 Example of Standard CITES Form (back) Annex 2 (to Conference Resolution 12.3)

## Argentina CITES Permit/Certificate for Export/Re-export


 <b>MINISTERIO DE AGRICULTURA Y GANADERIA</b> <b>DIRECCION NACIONAL DE FAUNA SILVESTRE</b> <b>REPUBLICA ARGENTINA</b>		<b>LEY 22344</b> <b>CONVENCION SOBRE EL COMERCIO INTERNACIONAL</b> <b>DE ESPECIES AMENAZADAS DE FAUNA Y FLORA SILVESTRES</b> <b>CONVENTION ON INTERNATIONAL TRADE IN</b> <b>ENDANGERED SPECIES OF WILD FAUNA AND FLORA</b> <b>CITES</b>		<b>EXPORTACION</b> Export <input type="checkbox"/> <b>REEXPORTACION</b> Re-export <input type="checkbox"/>	<b>PERMISO ORIGINAL</b> <b>ORIGINAL PERMIT</b> <b>Nº 000071</b>
<b>2. DESTINATARIO (NOMBRE Y DIRECCION, PAIS)</b> Consignee (name and address, country)		<b>4. TITULAR (NOMBRE Y DIRECCION, PAIS)</b> Consignor (name and address, country)			
<b>5. CONDICIONES ESPECIALES</b> Special conditions		<b>6. NOMBRE, DIRECCION, SELLO/TIMBRE NACIONAL DE LA AUTORIDAD ADMINISTRATIVA</b> Name, address, and national stamp of the administrative authority <b>DIRECCION NACIONAL DE FAUNA SILVESTRE</b> <b>PASEO COLON 922 - 2º PISO</b> <b>1063 BUENOS AIRES ARGENTINA</b>			
<b>7. NOMBRE COMUN DEL ANIMAL O PLANTA</b> Common name of the animal or plant	<b>8. NOMBRE CIENTIFICO DEL ANIMAL O PLANTA</b> Scientific name of the animal or plant GENERO ESPECIE Genus Species	<b>9. DESCRIPCION PARTE O DERIVADO</b> <b>MARCAS O NUMEROS DE IDENTIFICACION (EDAD, SEXO SI VIVOS)</b> Description mark or identity number (age/sex if alive)	<b>10. APENDICE Nº Y PROVENIENCIA (W.C.A. o D)</b> Appendix n° and origin	<b>11. CANTIDAD: NUMERO DE ESPECIMENES Y/O PESO NETO (Kg.)</b> Quantity number of specimens and/or weight (Kg.)	
A					
B					
C					
D					
				<b>PAIS DE ORIGEN</b> Country of origin	
				<b>PERMISO Nº</b> Permit n°	
				<b>PAIS DE ORIGEN</b> Country of origin	
				<b>PERMISO Nº</b> Permit n°	
				<b>PAIS DE ORIGEN</b> Country of origin	
				<b>PERMISO Nº</b> Permit n°	
<b>12. PAIS EN EL CUAL LOS ESPECIMENES FUERON CAPTURADOS O RECOLECTADOS EN LA NATURALEZA, NACIDOS Y CRIADOS EN CAUTIVIDAD O REPRODUCIDOS ARTIFICIALMENTE.</b> Country where specimens were captured or collected in the wild, born and raised in captivity or reproduced artificially.					
<b>13. ESTE PERMISO ES EMITIDO POR LA AUTORIDAD SIGUIENTE:</b> This permit is given by the following authority					
<b>ANNULE</b>					
<b>LUGAR</b> Place		<b>FECHA</b> Date		<b>FIRMA</b> Signature	
<b>14. APROBACION DE LA EXPORTACION</b> Approval of export		<b>15. CONOCIMIENTO DE EMBARQUE/CARTA DE PORTE AEREO</b> Knowledge of embarkation/card of air department			
<b>VER ITEM 7</b> See item 7	<b>CANTIDAD</b> Quantity				
A					
B					
C					
D					
<b>PUERTO DE EXPORTACION</b> Port of export		<b>FECHA</b> Date		<b>FIRMA</b> Signature	
<b>ORIGINAL PARA PAIS IMPORTADOR</b>				<b>SELLO Y CARGOS OFICIALES</b> Seal and official rank	

FIGURE D-8 Example of Argentina CITES Permit for Export/Re-export

## Barbados CITES Permit/Certificate for Export/Re-export/Import/Other

lot. 1777/07

GOVERNMENT OF BARBADOS  
CITES PERMITS

EXP/REEXP/IMP/OT

**CITES** CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA

PERMIT/CERTIFICATE NO. \_\_\_\_\_

☐ EXPORT  
☐ RE-EXPORT  
☐ IMPORT  
☐ OTHER

2. Valid until \_\_\_\_\_

3. Importer (name and address) \_\_\_\_\_


3a. Country of import \_\_\_\_\_

4. Exporter (name and address, country) \_\_\_\_\_

5. Special conditions  
For live animals. This permit or certificate is only valid if transport conditions conform to the Guidance for Transport of Live Animals or, in the case of air transport, to the IATA Live Animals Regulations.

5a. Purpose of the transaction (see reverse) \_\_\_\_\_

5b. Security Stamp No. \_\_\_\_\_

6. Name, address, national seal/stamp and country of Management Authority  
  
P.S. (ENVIRONMENT DIVISION)  
MINISTRY OF HEALTH AND THE ENVIRONMENT  
SIR FRANK WALCOTT BUILDING  
BRIDGETOWN, BARBADOS

7./8.	9.	10.	11.	11a.
7./8. SCIENTIFIC NAME (Genus and species) AND COMMON NAME OF ANIMAL OR PLANT	9. Description of specimens, including identifying marks or numbers (age/sex if alive)	10. Appendix No. and source (see reverse)	11. Quantity (including unit)	11a. Total exported/Quota
A	12. Country of origin* Permit No. Date	12a. Country of last re-export Certificate No. Date	12b. No. of operation** or date of acquisition***	11a.
B	12. Country of origin* Permit No. Date	12a. Country of last re-export Certificate No. Date	12b. No. of operation** or date of acquisition***	11a.
C	12. Country of origin* Permit No. Date	12a. Country of last re-export Certificate No. Date	12b. No. of operation** or date of acquisition***	11a.
D	12. Country of origin* Permit No. Date	12a. Country of last re-export Certificate No. Date	12b. No. of operation** or date of acquisition***	11a.

\* Country to which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export)  
\*\* Only for specimens of Appendix I species bred in captivity for commercial purposes  
\*\*\* for pre-Convention specimens

MINISTRY OF AGRICULTURE

13. a) Health Certificate \_\_\_\_\_ b) Date \_\_\_\_\_  
c) Surname \_\_\_\_\_ d) Signature \_\_\_\_\_ Office Stamp \_\_\_\_\_

14. THIS PERMIT IS ISSUED BY: \_\_\_\_\_  
Place \_\_\_\_\_ Date \_\_\_\_\_ Security stamp, signature and official seal \_\_\_\_\_

15. EXPORT ENDORSEMENT:

Block	Quantity
A	
B	
C	
D	

16. Bill of Lading/Air Waybill Number \_\_\_\_\_

Port of Export \_\_\_\_\_ Date \_\_\_\_\_ Signature \_\_\_\_\_ Official Stamp and title \_\_\_\_\_

CITES PERMIT/CERTIFICATE No. \_\_\_\_\_

FIGURE D-9 Example of Barbados CITES Permit/Certificate for Export/Re-export/Import/Other

## Belize CITES Permit/Certificate for Export/Re-export/Import/Other

**CITES** CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA

PERMIT/CERTIFICATE No 000604

☐ EXPORT  
☐ RE-EXPORT  
☐ IMPORT  
☐ OTHER:

2. Valid until

3. Importer (name and address) or consignee

4. Exporter (name and address, country)


3a. Country of import

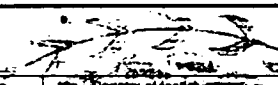
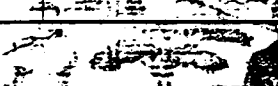
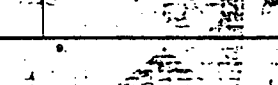
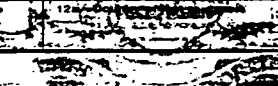
5. Special Conditions

For live animals, this permit or certificate is only valid if the transport conditions conform to the Guidelines for Transport of Live Animals or, in the case of air transport, to the IATA Live Animals Regulations.

5a. Purpose of the transaction (see reverse) 5b. Security stamp No.

6. Name, address, national seal/stamp and country of Management Authority

 Forest Department  
Ministry of Natural Resources  
Belmopan,  
Belize, C.A.

7./8. SCIENTIFIC NAME (genus and species) AND COMMON NAME OF ANIMAL OR PLANT	9. Description of specimens, including identifying marks or numbers (age/sex if live)	10. Appendix No. and source (see reverse)	11. Quantity (including unit)	11a. Total exported Quota
A		10.	11.	11a.
12. Country of origin *	Permit No. Date	12a. Country of last acquisition	Certificate No. Date	12b. No. of the breeding operation * * * or date of acquisition * * *
B		10.	11.	11a.
12. Country of origin *	Permit No. Date	12a. Country of last acquisition	Certificate No. Date	12b. No. of the operation * * * or date of acquisition * * *
C		10.	11.	11a.
12. Country of origin *	Permit No. Date	12a. Country of last acquisition	Certificate No. Date	12b. No. of the operation * * * or date of acquisition * * *
D		10.	11.	11a.
12. Country of origin *	Permit No. Date	12a. Country of last acquisition	Certificate No. Date	12b. No. of the operation * * * or date of acquisition * * *

\* Country in which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export)  
\* \* Only for specimens of Appendix I species bred in captivity or artificially propagated for commercial purposes  
\* \* \* For pre-Convention specimens

13. THIS PERMIT IS ISSUED BY:

Place Date Security stamp, signature and official seal

14. EXPORT ENDORSEMENT:

Block	Quantity
A	
B	
C	
D	

15. Bill of Lading/Air Waybill Number:

Port of Export Date Signature Official stamp and title

CITES PERMIT/CERTIFICATE No 8-7 104

FIGURE D-10 Example of Belize CITES Permit/Certificate for Export/Re-export/Import/Other



## Bolivia CITES Permit for Export/Re-export

**CITES** CONVENCIÓN SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES AMENAZADAS DE FAUNA Y FLORA SILVESTRES

☐ EXPORTACION ☐ REEXPORTACION

1. PERMISO Original  
N° 00001

2. Válido hasta el

3. Destinatario (nombre y dirección, país)

4. Titular (nombre y dirección, país)

5. Nombre, dirección, teléfono, correo electrónico y país de la Autoridad Administrativa  
Ministerio de Asuntos Campesinos y Agropecuarios  
Centro de Desarrollo Forestal  
Jefatura Nacional de Vida Silvestre,  
Parques Nacionales, Caza y Pesca  
Av. Camacho 1323 - 4° Piso  
LA PAZ, BOLIVIA

6. Condiciones especiales:  
Todos los envíos de fauna y flora boliviana deben hacerse a partir de las autoridades internacionales de Santa Cruz o La Paz.  
Todos los envíos deben ser realizados por las compañías exportadoras de fauna y flora boliviana debidamente autorizadas.  
Permiso de transporte N° \_\_\_\_\_ otorgado por el Ministerio de Asuntos Campesinos y Agropecuarios  
Permiso N° \_\_\_\_\_ otorgado por el Ministerio de Industria y Comercio

7.8. NOMBRE COMÚN Y NOMBRE CIENTÍFICO (género y especie) DEL ANIMAL O PLANTA

9. Descripción parte o derivado: especie, número de identificación, tamaño, etc.

10. Agente(s) A\* y B\* y producción (N, S, E, O)

11. Cantidad, número de especímenes (o peso neto (Kg.))

12. País en el cual las especímenes fueron capturados o recolectados en la naturaleza, nacidos y criados en cautividad o reproducidos artificialmente.

13. ESTE PERMISO ES EMITIDO POR LA AUTORIDAD SIGUIENTE:

Lugar Fecha Firma Sello y cargo oficiales

14. APROBACIÓN DE LA EXPORTACIÓN:

Variante	Cantidad
A	
B	
C	
D	
E	
F	

15. Constatamiento de embarque/carga de parte aérea:

Puerto de exportación Fecha Firma Sello y cargo oficiales

Valor del formulario US\$ 10.- o su equivalente en moneda nacional  
NOTA: Este documento no es negociable y es anulado al ser presentado al ay

Impreso con la asistencia de Prodena-Bolivia

FIGURE D-11 Example of Bolivia CITES Permit for Export/Re-export

## Brazil CITES Permit for Import/Export/Re-export/Other



 <b>CONVENÇÃO SOBRE O COMÉRCIO INTERNACIONAL DE ESPÉCIES DA FAUNA E FLORA SELVAGENS EM PERIGO DE EXTINÇÃO</b>				1 - LICENÇA Nº / PERMIT Nº Nº da Página / Page Nº	
2 - VÁLIDO ATÉ / VALID UNTIL				3 - EXPORTADOR/EXPORTADOR (NOME, ENDEREÇO/EXPORTER / RE-EXPORTER (NAME, ADDRESS))	
4 - IMPORTADOR (NOME, ENDEREÇO) / IMPORTER (NAME, ADDRESS)		5 - PAÍS DE DESTINO / COUNTRY OF DESTINATION		6A - OBJETIVO OPERAÇÃO / PURPOSE	
6B - SELO Nº / SECURITY STAMP Nº		7 - CONDIÇÕES ESPECIAIS / SPECIAL CONDITIONS		8 - ASSINATURA / SIGNATURE	
<b>AUTORIDADE ADMINISTRATIVA EMITENTE / ISSUING MANAGEMENT AUTHORITY</b> <b>MMA - MINISTÉRIO DO MEIO AMBIENTE, DOS RECURSOS HÍDRICOS E DA AMAZÔNIA LEGAL</b> <b>IBAMA - INSTITUTO BRASILEIRO DO MEIO AMBIENTE E DOS RECURSOS NATURAIS RENOVÁVEIS</b> <b>SAIN L4 NORTE - CEP: 70800-200 - BRASÍLIA - DF - BRASIL</b>					
6 - For live animals, this permit or certificate is only valid if the transport conditions comply with the CITES Guidelines or, in case of air transport, with the IATA Live Animals Regulations.					
5 - ITEM	9 - ESPÉCIES (NOME CIENTÍFICO) / SPECIES (SCIENTIFIC NAME)	10 - NOME COMUM / COMMON NAME	11 - APÊNDICE I / APPENDIX I	12 - DESCRIÇÃO / DESCRIPTION (MARKS OF NUMBER, AGE/SEX IF LIVE)	13 - QUANTIDADE / QUANTITY
<div style="font-size: 4em; transform: rotate(-45deg); opacity: 0.3;">SAMPLE</div>					
COUNTRY OF ORIGIN		14 - RE-EXPORTATION	COUNTRY OF LAST RE-EXPORT		15 - Nº OF THE OPERATION (O) / DATE OF ACQUISITION (P)
15 - ORIGEM SPECIMENS / SOURCE OF SPECIMENS		16 - OBJETIVO DA OPERAÇÃO / PURPOSE OF TRADE			
A - Plantas reproduzidas artificialmente / Artificially propagated plant B - Animais reproduzidos em cativeiro - Conf. 10.10 / Animals bred in captivity - Conf. 10.10 C - Animais da Apêndice I reproduzidos em cativeiro e plantas da Apêndice I propagadas artificialmente sem finalidade comercial - (Art. VII - 4) D - Animais e plantas vivos em cativeiro sob Apêndice I para fins exclusivamente científicos / Appendix I plants artificially propagated for commercial purposes (Art. VII - 4) E - Primeira geração de animais nascidos em cativeiro (F1), mas não estão a definição de reprodução em cativeiro - Conf. 10.10 / First generation (F1) animals born in captivity, but which do not fulfil the definition of bred in captivity in Resolution Conf. 10.10 F - Espécime Pré-Convensão / Pre-Convention Specimen G - Espécime da Convensão / Specimen from a ratifying operation H - Origem desconhecida / Source unknown I - Selvagem - Wild		1 - Criação em cativeiro de reprodução artificial / Breeding in captivity or artificial propagation 2 - Educativa / Educational 3 - Jardins Botânicos / Botanical Gardens 4 - Troféus de caça / Hunting trophies 5 - Pesquisas biológicas / Bio-medical research 6 - In ou reintrodução ao meio silvestre / In or reintroduction into de wild 7 - Objeto pessoal / Personal 8 - Colecções e exposições itinerantes / Circuses and travelling exhibitions 9 - Científico / Scientific 10 - Comercial / Commercial 11 - Zoológico / Zoo			
17 - EXPORTAÇÃO E REEXPORTAÇÃO - ENDOSO / EXPORT AND REEXPORT ENDORSEMENT		18 - IMPORTAÇÃO ENDOSO / IMPORT ENDORSEMENT			
QUANTIDADE / QUANTITY:		QUANTIDADE / QUANTITY:			
DATA / DATE:		DATA / DATE:			
1ª via-Original    2ª via-IBAMA    3ª-Aduana do País Importador    4ª-via-Aduana do País Exportador    5ª-via-Autoridade Administrativa    6ª-via-Solicitante					

FIGURE D-12 Example of Brazil CITES Permit for Import/Export/Re-export/Other

# Cameroon CITES Permit/Certificate for Export/Re-export/Import

MINISTÈRE DE L'ENVIRONNEMENT ET DES FORÊTS

DIRECTION DES FORÊTS

SDAFE SN

CONVENTION SUR LE COMMERCE INTERNATIONAL DES ESPÈCES DE FAUNE ET DE FLORE SAUVAGES MENACÉES D'EXTINCTION

REPUBLICQUE DU CAMEROUN  
Paix - Travail - Patrie

☐ EXPORTATION  
☐ REEXPORTATION  
☐ IMPORTATION

N° /P/MINEF/DF/SDAFF/SN

2. NON VALABLE APRES LE :

3. Destinataire (Nom, adresse, pays)		4. Titulaire (Nom, adresse, pays)	
5. Conditions particulières		6. Nom, adresse, cachet, sceau national et pays de l'Organe de Gestion	
7/8 Nom commun et nom scientifique		9. Description des parties ou produits : Marques ou numéros d'identification (âge/sexes si vivant)	
10. N° du Permis		11. Annexe	
12. Pays d'origine		13. Quantité	
12. Pays dans lequel le spécimen ont été prélevés dans la nature, sont nés et ont été élevés en captivité ou ont été reproduits artificiellement.			
13. CE PERMIS EST DELIVRE PAR L'AUTORITE SUIVANTE : LE MINISTRE DE L'ENVIRONNEMENT ET DES FORÊTS			
14. Approbation de l'exportation		15. Connaissance / lettre de transport aérien	
16. Port d'exportation		17. Date	
18. Signature		19. Cachet et titre officiels	

ORIGINAL accompagnant le spécimen

FIGURE D-13 Example of Cameroon CITES Permit/Certificate for Export/Re-export/Import

## Canada Export Permit


 Department of Foreign Affairs Ministère des Affaires étrangères et du Commerce International		Application for the Convention on International Trade in Endangered Species of Wild Fauna and Flora Demande de la Convention sur le commerce international des espèces de faune et de flore sauvages menacées d'extinction			
(1) Exporter (name, address, telephone) Exportateur (nom, adresse, téléphone)		<b>EXPORT PERMIT</b> Convention on International Trade in Endangered Species of Wild Fauna and Flora		<b>LICENCE D'EXPORTATION</b> Convention sur le commerce International des espèces de faune et de flore sauvages menacées d'extinction	
		Applicant's reference no.: No. de référence du requérant:		Date:	
(2) Consignee and final destination (name, address) Destinataire à l'ultime destination (nom, adresse)		(3) Shipment no.: No. de l'expédition:			
		Date:			
(3) Applicant (if other than exporter) Représentant (si autre que l'exportateur)		Permit, if issued, to be sent to: Exporter <input type="checkbox"/> Exporteur		License, if it is sent, to be sent to: Applicant <input type="checkbox"/> Représentant	
		(5) Exporting Province/Territory Province/Territoire exportateur			
		(7) Country of final destination Pays de destination finale			
		Canadian port where Customs entry will be presented PORT		Port Canadian où sera présentée la déclaration d'exportation	
(4) The undersigned hereby certifies that all information given in this application is true and correct. Le soussigné certifie que tous les renseignements fournis dans cette formule de demande sont exacts.		Source: Artificially Propagated / reproduites artificiellement (O) Purpose: Commercial			
Signature		Country of Origin Pays d'origine CANADA			
Appendix Annexe	Markings Marquages	(6) Description (scientific name, type, etc.) Description (nom scientifique, genre, etc.)	(8) Quantity Quantité	Sex Sexe	Size and Age Taille et âge
		<b>CANCELLED ANNULÉE</b>			
This Permit is valid only when signed in box (4) by the exporter identified in box (1). Cette licence est valide seulement lorsqu'elle est signée à la case (4) par l'exportateur nommé à la case (1).					
<b>CONDITIONS: MUST COMPLY WITH THE CONDITIONS AND INSTRUCTIONS INDICATED ON THE REVERSE SIDE.</b> <b>DOIT SE CONFORMER AUX CONDITIONS ET AUX INSTRUCTIONS DÉCRITES AU VERSO.</b>					
For Departmental Use Only - À l'usage du Ministère seulement					
Signature and stamp of issuing authority	Signature et tampon des autorités émettrices de la licence	Customs stamp of importing country	Tampon de la douane du pays importateur	Permit No. CA-CW-EX-XXXX-XX	No. de la licence
				Date of issue	Date d'émission
Checked by collector of Customs against copy retained for Department	Vérifié par le Receveur de la douane avec l'exemplaire reçu du ministère	Date stamp of port of validation	Timbre à date du bureau de validation	Entry Date	Date d'inscription
				File No.	Dossier no.

FIGURE D-14 Example of Canada Export Permit

## Central African Republic CITES Permit for Export/Re-export/Import

REPUBLIQUE CENTRAFRICAINE  
Unité - Dignité - Travail

CONVENTION SUR LE COMMERCE INTERNATIONAL  
DES ESPECES DE FAUNE ET DE FLORE SAUVAGES  
MENACEES D'EXTINCTION  
(C.I.T.E.S.)

PERMIS D'EXPORTATION ☐

PERMIS DE REEXPORTATION ☐

PERMIS D'IMPORTATION ☐

VALIDITE .....

MINISTERE DE L'ENVIRONNEMENT  
DES EAUX, FORETS, CHASSES ET PECHE

**ORIGINAL**

N° .....(CF).....

Pays d'origine .....

REF. PERMIS

Destinataire (Nom, Adresse, Pays) ..... Titulaire : .....

Conditions particulières .....

Organe de gestion : Direction de la faune  
B.P 830 BANGUI (rép. Centrafricaine)  
Tél (236) 61.79.21

Nom Scientifique du Specimen	Nom Commun	Description	Quantité	Annexe
<p style="font-size: 2em; transform: rotate(-45deg); opacity: 0.5;">SPÉCIMEN</p>				

VISA DOUANES

VISA DU FONDS DE DEVELOPPEMENT  
FORESTIER ET TOURISTIQUE

Nom, Adresse, Cachet et Titre Officiel

Signature Autorisée

Date

FIGURE D-15 Example of Central Africa (Centrafricaine) Permit for CITES Export/Re-export/Import

## Chile CITES Permit for Export/Re-export/Import




 <b>CONVENCION SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES AMENAZADAS DE FAUNA Y FLORA SILVESTRES</b>		119 <input type="checkbox"/> EXPORTACION <input type="checkbox"/> REEXPORTACION <input type="checkbox"/> IMPORTACION		<b>1. PERMISO ORIGINAL N° 0000201</b>											
<b>3</b> Destinatario (nombre y dirección, país)		<b>4</b> Titular (nombre y dirección, país)													
<b>5</b> Condiciones especiales A - DECRETO LEY N° 673 DE 20 ENERO 1975 MINISTERIO DE RELACIONES EXTERIORES B - DECRETO SUPLEN N° 141 DE 18 FEBRERO 1975 MINISTERIO DE RELACIONES EXTERIORES OTRAS		<b>6</b> Nombre, dirección, sello (sobre nacional) y país de la Autoridad Administrativa  <b>REPUBLICA DE CHILE</b> <b>MINISTERIO DE AGRICULTURA</b>  SERVICIO AGRICOLA Y GANADERO DIRECCION EJECUTIVA AVENIDA GENERAL BULNES N° 140 CASILLA 4088 - SANTIAGO - CHILE													
<b>7</b> NOMBRE COMUN Y NOMBRE CIENTIFICO (género y especie) DEL ANIMAL O PLANTA		<b>8</b> Descripción parte o derivado, marcas o números de identificación (edad, sexo, si vivos)		<b>10</b> Apéndice N° y procedencia (W.C.A. o O)											
<b>11</b> Cantidad, número de especímenes y o peso neto (Kg)		<b>12</b> País en el cual especímenes fueron capturados o recolectados en la naturaleza, nacidos y criados en cautividad o reproducidos artificialmente		<b>13</b> ESTE PERMISO ES EMITIDO POR LA AUTORIDAD SIGUIENTE											
<b>14</b> APROBACION DE LA EXPORTACION		<b>15</b> Conocimiento de embarque carta de porte aéreo													
<table border="1"> <thead> <tr> <th>Ver item 7</th> <th>Cantidad</th> </tr> </thead> <tbody> <tr> <td>A</td> <td></td> </tr> <tr> <td>B</td> <td></td> </tr> <tr> <td>C</td> <td></td> </tr> <tr> <td>D</td> <td></td> </tr> </tbody> </table>		Ver item 7	Cantidad	A		B		C		D					
Ver item 7	Cantidad														
A															
B															
C															
D															

FIGURE D-16 Example of Chile CITES Permit for Export/Re-export/Import



## China CITES Permit/Certificate for Export/Re-export/Import/Other

 <b>CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA</b> <b>濒危野生动植物种国际贸易公约</b> <b>PERMIT/CERTIFICATE FOR IMPORT/EXPORT &amp; REEXPORT</b> <b>允许进出口证明书</b>		<input type="checkbox"/> <b>EXPORT 出口</b> <input type="checkbox"/> <b>RE-EXPORT 再出口</b> <input type="checkbox"/> <b>IMPORT 进口</b> <input type="checkbox"/> <b>OTHER 其它</b>		<b>1. PERMIT/CERTIFICATE No. 证号</b>  <b>2. Valid Until 有效期至</b>  											
		<b>3. Importer (Name, Address and Country) 进口者 (名称、地址和国家)</b>  		<b>4. Exporter (Name, Address and Country) 出口者 (名称、地址和国家)</b>  											
<b>3a. Import Port 进口口岸</b>  		<b>4a. Export Port 出口口岸</b>  		<b>5. HS Code and Special Conditions 海关协调制度编码及特殊条件</b>  											
<b>5a. Purpose of Transaction 贸易目的</b>  		<b>5b. Security Stamp No. 安全印花号</b>  		<b>6. Name, Address, National Seal of Management Authority</b>  <div style="display: flex; align-items: center;">  <div> <b>The Endangered Species Import and Export Management Office of the People's Republic of China</b>  Add: 18 Heping Dongjie, Beijing 100714  Tel: 86-10-84239001, 84239008  Fax: 86-10-84214180, 84239515  <b>中华人民共和国濒危物种进出口管理办公室</b>  地址: 中华人民共和国  北京市东城区和平里东街18号  邮政编码: 100714  电话: 86-10-84239001, 84239008  传真: 86-10-84214180, 84239515 </div> </div>											
<b>7. Species (Chinese &amp; Scientific) Name 种名 (中文名、学名)</b>  		<b>7b. Appendix 附录</b>  		<b>7c. Source 来源</b>  											
<b>7d. Description 标本类型</b>  		<b>7e. Quantity or Weight /Unit 数量或净重/单位</b>  		<b>7f. Origin of Country 原产国</b>  											
<div style="font-size: 4em; transform: rotate(-15deg); opacity: 0.5;">Example!</div>															
<b>8. THIS PERMIT/CERTIFICATE IS ISSUED BY 发证机关</b>  															
<b>Place 地点</b>  		<b>Date 日期</b>  		<b>Signature 签名</b>  											
<b>Security Stamp and Official Seal 安全印花及公章</b>  															
<b>9. For Customs Official Use Only 海关备注</b> <table border="1" style="width: 100%;"> <tr> <th>Block 栏目</th> <th>Quantity/Unit 数量/单位</th> </tr> <tr> <td>A</td> <td></td> </tr> <tr> <td>B</td> <td></td> </tr> <tr> <td>C</td> <td></td> </tr> <tr> <td>D</td> <td></td> </tr> </table>		Block 栏目	Quantity/Unit 数量/单位	A		B		C		D		<b>9a. Bill of Lading/Airway-bill Number 提单/空运单号</b>  			
Block 栏目	Quantity/Unit 数量/单位														
A															
B															
C															
D															
<b>Port of Im/Export 进出口口岸</b>  		<b>Date 日期</b>  		<b>Signature 签名</b>  											
<b>Official Stamp and Title 公章</b>  															

说明: 本证明书一式五联。此正本必须随第7栏所述货物同行。  
NOTE: This permit/certificate is composed of 5 pages. The original must follow the goods described in Block 7.

FIGURE D-17 Example of China CITES Permit for Export/Re-export/Import/Other

## Colombia CITES Permit/Certificate for Export/Re-export/Import/Other

**CITES** CONVENCIÓN SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES AMENAZADAS DE LA FAUNA Y FLORA SILVESTRE

PERMISO/CERTIFICADO No. CO/P/ 00510

☐ EXPORTACION  
☐ RE-EXPORTACION  
☐ IMPORTACION  
☐ OTRO:

2. Valido hasta el: \_\_\_\_\_

3. Destinatario (nombre y dirección): \_\_\_\_\_

3a. País del destino (y puerto de entrada): \_\_\_\_\_

5. Condiciones especiales: \_\_\_\_\_

4. Titular (nombre, dirección y país): \_\_\_\_\_

Firma del Titular: \_\_\_\_\_

6. Nombre, dirección, sello/timbre nacional y país de la Autoridad Administrativa: **Ministerio del Medio Ambiente**  
Calle 37 No. 8-40  
Santafé de Bogotá, D.C.  
COLOMBIA

10. Apéndice (ver al reverso): \_\_\_\_\_

11. Cantidad (incluida la unidad de medida): \_\_\_\_\_

7.8. NOMBRE COMÚN Y NOMBRE CIENTÍFICO (género y especie) DEL ANIMAL O PLANTA: \_\_\_\_\_

9. Descripción parte o derivado: marca o número de identificación (indicados al verso): \_\_\_\_\_

12. País de origen: \_\_\_\_\_ Permiso No. \_\_\_\_\_ Fecha: \_\_\_\_\_

12a. País de procedencia: \_\_\_\_\_ No. de certificado: \_\_\_\_\_ Fecha: \_\_\_\_\_

12b. No. de la operación: \_\_\_\_\_ Fecha de la adquisición: \_\_\_\_\_

13. ESTE PERMISO ES EMITIDO POR LA AUTORIDAD SIGUIENTE:

Lugar: \_\_\_\_\_ Fecha: \_\_\_\_\_

14. APROBACIÓN DE LA EXPORTACIÓN

Sección	Cantidad
A	
B	
C	

15. Conocimiento de embarque/carga de porte aéreo: \_\_\_\_\_

Puerto de exportación: \_\_\_\_\_ Fecha: \_\_\_\_\_

Sello y cargo oficiales: \_\_\_\_\_

ORIGINAL -

PERMISO/CERTIFICADO No. CO/P/ 00510

MINISTERIO DEL MEDIO AMBIENTE FORMATO DE ENTREGA DEL PERMISO CITES

No. DEL PERMISO 00510

FECHA DE EMBARQUE: \_\_\_\_\_

NOMBRE DEL ESTABLECIMIENTO: \_\_\_\_\_

SALVOCONDUCTO No. \_\_\_\_\_

DEX No. \_\_\_\_\_

NOMBRE, IDENTIFICACIÓN Y FIRMA DE RECIBIDO: \_\_\_\_\_

NOMBRE Y FIRMA DEL FUNCIONARIO DE LA AUTORIDAD AMBIENTAL: \_\_\_\_\_

OBSERVACIONES: \_\_\_\_\_

FIGURE D-18 Example of Colombia CITES Permit/Certificate for Export/Re-export/Import/Other



## Congo CITES Permit for Export/Import

<b>CONVENTION SUR LE COMMERCE INTERNATIONAL DES ESPECES DE FAUNE ET DE FLORE SAUVAGE MENACEE D'EXTINCTION</b>		<input type="checkbox"/> EXPORTATION <input type="checkbox"/> REEXPORTATION	<b>1. PERMIS ORIGINAL</b> N° <b>2. Valable jusqu'au</b>	
<b>3. DESTINATAIRE (nom et Adresse, pays)</b>		<b>4. TITULAIRE (nom et adresse, pays)</b>		
<b>5. Conditions particulières</b>		<b>6. Noms, adresse, cachet-sceau national et pays de l'organe de gestion.</b>		
<b>7 8. NOM COMMUN ET NOM SCIENTIFIQUE (genre et espèce de l'animal ou de la plante).</b>		<b>9. Description des parties ou produits marques ou numéros d'identification (âge sexe si vivant)</b>	<b>Annexe et provenance (W.C.A ou O)</b>	<b>11. Quantité Nombre de spécimen et ou poids net (Kg)</b>
<b>A</b>		<b>Pays d'origine</b>		<b>Permis N°</b>
<b>B</b>		<b>Pays d'origine</b>		<b>Permis N°</b>
<b>C</b>		<b>Pays d'origine</b>		<b>Permis N°</b>
<b>D</b>		<b>Pays d'origine</b>		<b>Permis N°</b>
<b>12. pays dans lesquels les spécimen ont été prélevés dans la nature, sont nés et ont été élevés en captivité ou été reproduits artificiellement.</b>				
<b>12. CE PERMIS EST DELIVRE PAR L'AUTORITE SUIVANTE :</b>				
<b>Lien</b>	<b>Date</b>	<b>Signature</b>	<b>Cachet et titre officiel</b>	
<b>14. APPROBATION DE L'EXPLOITATION</b>			<b>15. Connaissance Lettre de transport aérien</b>	
<b>Voir rubrique 7 : Quantité</b>				
<b>A</b>				
<b>B</b>				
<b>C</b>				
<b>D</b>				
<b>Port d'exploitation</b>	<b>Date</b>	<b>Signature</b>	<b>Cachet et titre officiel</b>	

FIGURE D-19 Example of Congo CITES Permit for Export/Import

## Congo CITES Permit/Certificate for Export/Re-export/Import/Other




 <b>CONVENTION SUR LE COMMERCE INTERNATIONAL DES ESPÈCES DE FAUNE ET DE FLORE SAUVAGES MENACÉES D'EXTINCTION</b>		<b>PERMIS / CERTIFICAT N°</b> 0001											
<input type="checkbox"/> EXPORTATION <input type="checkbox"/> REEXPORTATION <input type="checkbox"/> IMPORTATION <input type="checkbox"/> AUTRE:		Original 2. Valable jusqu'au:											
3. Importateur (nom et adresse):		4. Exportateur (nom et adresse, pays):											
3a. Pays d'importation:		6. Nom, adresse, cachet/sceau national et pays de l'organe de gestion  <b>Ministère des affaires foncières, environnement et tourisme</b> <b>15, avenue Papa ILEO (ex Cliniques)</b> <b>KINSHASA / GOMBE</b> <b>République Démocratique du Congo</b>											
5. Conditions particulières  <small>Pour les animaux vivants, ce permis ou certificat n'est valable que si les conditions de transport sont conformes aux Lignes directrices pour le transport des animaux vivants ou, en cas de transport aérien, à la Réglementation IATA du transport des animaux vivants.</small>													
5a. But de la transaction (voir au dos)		5b. N° du timbre de sécurité											
7./8. NOM COMMUN ET NOM SCIENTIFIQUE (genre et espèce) DE L'ANIMAL OU DE LA PLANTE		9. Description des parties ou produits marqués ou numéros d'identification (âge/sexes si vivant)											
		10. Annexe et source (voir au dos)											
		11. Quantité (y compris l'unité)											
		11a. Total exporté, quota											
7./8.		9.											
10.		11.											
11a.													
12. Pays d'origine * N° permis Date		12a. Pays de provenance N° certificat Date											
12b. N° de l'établissement * * ou date de l'acquisition * * *													
7./8.		9.											
10.		11.											
11a.													
12. Pays d'origine * N° permis Date		12a. Pays de provenance N° certificat Date											
12b. N° de l'établissement * * ou date de l'acquisition * * *													
7./8.		9.											
10.		11.											
11a.													
12. Pays d'origine * N° permis Date		12a. Pays de provenance N° certificat Date											
12b. N° de l'établissement * * ou date de l'acquisition * * *													
* Pays dans lequel les spécimens ont été prélevés dans la nature, sont nés et ont été élevés en captivité ou reproduits artificiellement (seulement en cas de réexportation) * * Uniquement pour les spécimens de l'Annexe I nés et élevés en captivité ou reproduits artificiellement à des fins commerciales * * * Pour les spécimens pré-Convention													
13. CE PERMIS EST DELIVRE PAR L'AUTORITE SUIVANTE  Lieu: _____ Date: _____ Timbre de sécurité, signature et cachet officiel: _____													
14. APPROBATION DE L'EXPORTATION:		15. Connaissance/Lettre de transport aérien:											
<table border="1"> <thead> <tr> <th>Spéc</th> <th>Quantité</th> </tr> </thead> <tbody> <tr> <td>A</td> <td></td> </tr> <tr> <td>B</td> <td></td> </tr> <tr> <td>C</td> <td></td> </tr> <tr> <td>D</td> <td></td> </tr> </tbody> </table>		Spéc	Quantité	A		B		C		D		Port d'exportation: _____ Date: _____ Signature: _____ Cachet et titre officiel: _____	
Spéc	Quantité												
A													
B													
C													
D													

FIGURE D-20 Example of Congo Republic CITES Permit/Certificate for Export/Re-export/Import/Other

## Costa Rica CITES Permit for Export/Re-export


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**CONVENCION SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES AMENAZADAS DE FAUNA Y FLORA SILVESTRES**

☐ EXPORTACION    **1. PERMISO Original**  
No. \_\_\_\_\_

☐ REEXPORTACION    2. Valido hasta el: \_\_\_\_\_

3. Destinatario (nombre y dirección, país)	4. Titular (nombre y dirección, país)																				
5. Condiciones especiales	6. Nombre, dirección, sello/timbre nacional y país de la Autoridad Administrativa <div style="text-align: center;"> <p>San José, Costa Rica Apto. 101.04</p>  <p>REPÚBLICA DE COSTA RICA <b>Ministerio de Recursos Naturales, Energía y Minas</b> Autoridad Administrativa CITES</p> </div>																				
7./8.-NOMBRE COMÚN Y NOMBRE CIENTÍFICO (género y especie) DEL ANIMAL O PLANTA	9. Descripción parte o partes, marcas o números de identificación (todas/una de ellas)																				
10. Apéndice No. y procedencia (W.C.A. o D)	11. Cantidad: número de especímenes y/o peso neto (Kg)																				
A	País de origen *      Permiso No.																				
B	País de origen *      Permiso No.																				
C	País de origen *      Permiso No.																				
D	País de origen *      Permiso No.																				
12. País en el cual especímenes fueron capturados o recolectados de la naturaleza, nacidos y criados en cautividad o reproducidos artificialmente.																					
13. ESTE PERMISO ES EMITIDO POR LA AUTORIDAD SIGUIENTE.																					
_____ Lugar	_____ Fecha																				
_____ Firma	_____ Sello y cargo oficiales																				
14. APROBACIÓN DE LA EXPORTACIÓN:																					
15. Conocimiento de embarque/carta de porte aéreo.																					
<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Ver ítems 7</th> <th>Cantidad</th> </tr> </thead> <tbody> <tr><td>A</td><td></td></tr> <tr><td>B</td><td></td></tr> <tr><td>C</td><td></td></tr> <tr><td>D</td><td></td></tr> </tbody> </table>	Ver ítems 7	Cantidad	A		B		C		D		<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Ver ítems 7</th> <th>Cantidad</th> </tr> </thead> <tbody> <tr><td>A</td><td></td></tr> <tr><td>B</td><td></td></tr> <tr><td>C</td><td></td></tr> <tr><td>D</td><td></td></tr> </tbody> </table>	Ver ítems 7	Cantidad	A		B		C		D	
Ver ítems 7	Cantidad																				
A																					
B																					
C																					
D																					
Ver ítems 7	Cantidad																				
A																					
B																					
C																					
D																					
_____ Puerto de exportación	_____ Fecha																				
_____ Firma	_____ Sello y cargo oficiales																				

277-E - L'Hno. Imp. Cora. S. A.

FIGURE D-21 Example of Costa Rica CITES Permit for Export/Re-export

## Cote d'Ivoire CITES Permit/Certificate for Export/Re-export/Import/Other




 <b>CONVENTION SUR LE COMMERCE INTERNATIONAL DES ESPÈCES DE FAUNE ET DE FLORE SAUVAGES MENACÉES D'EXTINCTION</b>		<b>PERMIS / CERTIFICAT N° 00000</b>											
<input type="checkbox"/> EXPORTATION <input type="checkbox"/> REEXPORTATION <input type="checkbox"/> IMPORTATION <input type="checkbox"/> AUTRE :		Original											
3. Importateur (nom et adresse)		4. Exportateur/réexportateur (nom et adresse, pays)											
3a. Pays d'importation		2. Valable jusqu'à											
5. Conditions particulières  Pour les animaux vivants, ce permis ou certificat n'est valable que si les conditions de transport sont conformes aux Lignes directrices pour le transport des animaux vivants ou, en cas de transport aérien, à la Réglementation IATA du transport des animaux vivants.		6. Nom, adresse, cachet/sceau national et pays de l'organe de gestion   <b>Direction de la protection de la nature Ministère de l'Environnement et de la Forêt B.P. V 178 Abidjan CÔTE D'IVOIRE</b>											
5a. But de la transaction (voir au dos)		5b. N° du timbre de sécurité											
7./8. NOM COMMUN ET NOM SCIENTIFIQUE (genre et espèce) DE L'ANIMAL OU DE LA PLANTE		9. Description des parties ou produits marques ou numéros d'identification (âge/sexe si vivant)											
10. Annexe et sources (voir au dos)		11. Quantité (et unité)											
11a. Total exporté/quotas		12. N° de l'établissement ** ou date de l'acquisition ***											
7./8.		9.											
10.		11.											
11a.		12. N° de l'établissement ** ou date de l'acquisition ***											
12. Pays d'origine * N° du permis Date		12a. Pays de provenance N° du certificat Date											
12b. N° de l'établissement ** ou date de l'acquisition ***		12c. N° de l'établissement ** ou date de l'acquisition ***											
7./8.		9.											
10.		11.											
11a.		12. N° de l'établissement ** ou date de l'acquisition ***											
12. Pays d'origine * N° du permis Date		12a. Pays de provenance N° du certificat Date											
12b. N° de l'établissement ** ou date de l'acquisition ***		12c. N° de l'établissement ** ou date de l'acquisition ***											
7./8.		9.											
10.		11.											
11a.		12. N° de l'établissement ** ou date de l'acquisition ***											
12. Pays d'origine * N° du permis Date		12a. Pays de provenance N° du certificat Date											
12b. N° de l'établissement ** ou date de l'acquisition ***		12c. N° de l'établissement ** ou date de l'acquisition ***											
* Pays dans lequel les spécimens ont été prélevés dans la nature, sont nés et ont été élevés en captivité ou reproduits artificiellement (seulement en cas de réexportation) ** Uniquement pour les spécimens couverts par l'Annexe I nés et élevés en captivité ou reproduits artificiellement à des fins commerciales *** Pour les spécimens pré-Convention													
13. CE PERMIS EST DÉLIVRÉ PAR L'AUTORITÉ SUIVANTE :													
Lieu Date Timbre de sécurité, signature et cachet officiel													
14. APPROBATION DE L'EXPORTATION :		15. Connaissance/Lettre de transport aérien :											
<table border="1"> <tr> <th>Bloc</th> <th>Quantité</th> </tr> <tr> <td>A</td> <td></td> </tr> <tr> <td>B</td> <td></td> </tr> <tr> <td>C</td> <td></td> </tr> <tr> <td>D</td> <td></td> </tr> </table>		Bloc	Quantité	A		B		C		D		Port d'exportation/réexportation Date Signature Cachet et titre officiel	
Bloc	Quantité												
A													
B													
C													
D													

FIGURE D-22 Example of Cote d'Ivoire CITES Permit/Certificate for Export/Re-export/Import/Other

## Cuba CITES Permit for Export/Re-export/Import



**CONVENCIÓN SOBRE EL COMERCIO  
INTERNACIONAL DE ESPECIES  
AMENAZADAS DE FAUNA Y FLORA  
SILVESTRES**

☐ EXPORTACION  
☐ RE-EXPORTACION  
☐ IMPORTACION

PERMISO N° A-00000

Original

2. Válido hasta el

3. Destinatario (nombre y dirección)

---

3a. País de destino

---


5. Condiciones especiales

Para animales vivos: Este permiso es válido sólo si las condiciones de transporte se ajustan a las directrices dadas sobre el transporte de animales vivos o, en caso del transporte aéreo, a la reglamentación de la IATA sobre el transporte de animales vivos.

4. Titular (nombre y dirección, país)

---

5. Nombre, dirección, sello/timbre nacional y país de la Autoridad Administrativa



**Ministerio de la Agricultura  
Conill y Ave. Independencia  
Plaza de la Revolución  
CIUDAD DE LA HABANA  
República de Cuba**

Estampilla de seguridad N°

7/8. NOMBRE COMÚN Y NOMBRE CIENTÍFICO (género y especie) DEL ANIMAL O PLANTA	9. Descripción parte o derivado; marcas o números de identificación (edad/sexo si vivos)	10. Apéndice N° y procedencia (W.C.A. o OI)	11a. Cantidad: número de especímenes y/o peso neto (Kg.)	11b. saldo del cupo/ cupo anual nacional
A.				
		12. País de origen a Permisos N° y fecha		
B.				
		12. País de origen a Permisos N° y fecha		
C.				
		12. País de origen a Permisos N° y fecha		
D.				
		12. País de origen a Permisos N° y fecha		
E.				
		12. País de origen a Permisos N° y fecha		
F.				
		12. País de origen a Permisos N° y fecha		

a. Indicar el país en el cual los especímenes fueron capturados o recolectados en la naturaleza, nacidos y criados en cautividad o reproducidos artificialmente todo en caso de reexportación.

13. ESTE PERMISO ES EMITIDO POR LA AUTORIDAD SIGUIENTE:

Lugar

Fecha

Firma

Sello y cargo oficiales

Estampilla de seguridad

14. APROBACIÓN DE LA EXPORTACIÓN:

Ver ítem 7	Cantidad
A	
B	
C	
D	
E	
F	

15. Conocimiento de embarque/carte de porte aéreo:

Puerto de exportación


Fecha

Firma

Sello y cargo oficiales

FIGURE D-23 Example of Cuba CITES Permit for Export/Re-export/Import

## Ecuador CITES Permit for Export/Re-export/Import



**CONVENTION ON  
INTERNATIONAL TRADE IN  
ENDANGERED SPECIES OF  
WILD FAUNA AND FLORA**

☐ EXPORTACION  
EXPORT

☐ REEXPORTACION  
RE-EXPORT

☐ IMPORTACION  
IMPORT

1. PERMISO ORIGINAL ÚNICO VÁLIDO  
Original Permit Only

2. VÁLIDO HASTA EL  
Valid Until

3. DESTINATARIO (NOMBRE Y DIRECCIÓN PAÍS)  
Consignee (Name and Address, Country)

4. TITULAR (NOMBRE Y DIRECCIÓN PAÍS)  
Owner (Name and Address, Country)

5. CONDICIONES ESPECIALES: Species conditions  
Pago Derechos Compraventa:  
Payment and Quota, Total No.

Cuando No

Exoneración Derechos:  
Free of payment: SI ☐ YES  
No ☐ No

Signo funcionario responsable:  
Responsible Officer

6. NOMBRE, DIRECCIÓN, SELLO/TIMBRE NACIONAL DE LA AUTORIDAD ADMINISTRATIVA  
Name, Address, Seal/Stamp of the Administrative Authority  
PROGRAMA NACIONAL FORESTAL

7. NOMBRE COMÚN DEL ANIMAL Common name of the animal	8. NOMBRE CIENTÍFICO DEL ANIMAL Scientific name of the animal GÉNERO Género ESPECIE Species	9. DESCRIPCIÓN PARTE O DERIVADO MARCAS O NÚMEROS DE IDENTIFICACIÓN (EDAD, SEXO SI VIVIERE) Description (Part or Derivative) Markings or Identification Numbers (Age, Sex if alive)	10. APÉNDICE No. y PROVENIENCIA Appendix No. and Country of Origin	11. CANTIDAD, NÚMERO DE ESPECÍMENES y O PRES- NETO (Net) and Gross (Gross) Quantity, Number of Specimens or Net Weight
A				
			PAÍS DE ORIGEN Country of origin	PERMISO No. Permit No.
B				
			PAÍS DE ORIGEN Country of origin	PERMISO No. Permit No.
C				
			PAÍS DE ORIGEN Country of origin	PERMISO No. Permit No.
D				
			PAÍS DE ORIGEN Country of origin	PERMISO No. Permit No.

12. PAÍS EN EL CUAL LOS ESPECÍMENES FUERON CAPTURADOS O RECOLECTADOS EN LA NATURALEZA, NACIDOS Y CRIADOS O REPRODUCIDOS ARTIFICIALMENTE  
Country where specimens were captured or collected in the wild, born reared in captivity or reproduced artificially

13. ESTE PERMISO ES EMITIDO POR LA AUTORIDAD SIGUIENTE: This permit is given by the following authority:

LUGAR Place: FECHA Date: FIRMA Signature: SELLO Y CARGOS OFICIALES Seal and official rank:

AUTORIDAD ADMINISTRATIVA ECUATORIANA "CITES"

14. APROBACIÓN DE LA EXPORTACIÓN  
Approval of export:

VER ITEM Y See item 7	CANTIDAD Quantity
A	
B	
C	
D	


PUERTO DE IMPORTACIÓN / Port of import


15. CONOCIMIENTO DE EMBAQUE/CARGA DE EXPORTACIÓN  
Knowledge of packaging/loading of export


FECHA Date: FIRMA Signature: SELLO Y CARGOS OFICIALES Seal and official rank:

FIGURE D-24 Example of Ecuador CITES Permit for Export/Re-export/Import

## El Salvador CITES Permit for Export/Re-export/Import







Convención sobre El Comercio Internacional de Especies Amenazadas de Fauna y Flora Silvestres  
Convention on the International Trade in Endangered Species

**MINISTERIO DE AGRICULTURA Y GANADERIA**  
 República de El Salvador  
 Republic of El Salvador

1) Permiso Original  
Original Permit

No. \_\_\_\_\_

Serie A No. **0192**

☐ Exportación  
☐ Re - Exportación  
☐ Importación

2) Válido hasta el  
Valid Until - Void After

3) Destinatario (Nombre, Dirección, País) Consignee (Name, Address, Country)	4) Exportador (Nombre - Dirección) (Solicitante Applicant) Exporter (Name - Address)
---------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------

5) Nombre y Dirección de las Autoridades Administrativas:  
 Name and Address of the Administrative Authority:  
 a) Director General de Sanidad Vegetal y Animal  
 b) Jefe de División de Cuarentena Agropecuaria  
 Dirección General de Sanidad Vegetal y Animal  
 Cantón El Malazano, Soyapango, San Salvador  
 Teléfonos: 224-3491; 224-1537; 294-0592  
 Fax: 224-2782

**ANULADO**

**ANULADO**

6) NOMBRE COMUN COMMON NAME	7) NOMBRE CIENTIFICO SCIENTIFIC NAME	8) OTRA DESCRIPCION (Sexo, Edad, Marcas) OTHER DESCRIPTION (Sex, age, markings)	9) APENDICE No. Y ORIGEN APPENDIX No. AND ORIGIN	10) CANTIDAD QUANTITY

11) País en el cual los Especímenes fueron: A) Capturados o Recolectados en la Naturaleza. B) Nacidos en Captividad, o C) Reproducidos Artificialmente.  
 Country in which the Specimens were A) Captured or Recollected in the Wildes. B) Born and Raised in Captivity, or C) Reproduced Artificially.

A)	B)	C)
----	----	----

12) Este permiso es emitido por la Autoridad siguiente. / This permit is issued by the following Authority

LUGAR  
PLACE

FECHA  
DATE

FIRMA  
SIGNATURE AUTORIDAD ADMINISTRATIVA

PARA USO EN PUERTO DE SALIDA  
FOR USE AT EXIT PORT

13) Conocimiento de Embarque / Carta de Porte / Guía Aéreo No.  
Shipping Manifest / Bill Lading / Air Way Bill No.

FECHA/DATE

FIRMA/SIGNATURE

SELLO Y CARGO/SEAL Y TITLE

NOTA: Este permiso es válido con sólo una de las firmas de las Autoridades Administrativas.

**ORIGINAL**

FIGURE D-25 Example of El Salvador CITES Permit for Export/Re-export/Import

## European Community CITES Export Permit

European Community				EXPORT PERMIT			No. <b>B</b>	
<div style="display: inline-block; vertical-align: middle; margin-left: 10px;">           Convention on International Trade in Endangered Species of Wild Fauna and Flora         </div>				<div style="border: 1px solid black; padding: 2px; float: right;">1. Last day of validity</div>				
3. Exporter				2. Importer				
4. Country of import				5. Country of export				
6. Authorised location for live specimens of Annex A species				7. Issuing Management Authority  <b>WILDLIFE LICENSING &amp; REGISTRATION SERVICE DEPARTMENT OF THE ENVIRONMENT TOLLGATE HOUSE HOULTON STREET BRISTOL BS2 9DJ</b>				
8. Description of specimen(s)				9. Scientific name of species  10. Common name of species				
11. Country of Origin	Permit Number	Date of issue	13. CITES App	14. Source	15. CN Code			
12. Country of last re-export	Certificate Number	Date of issue	16. EC Annex	17. Purpose	18. Quantity	19. Net Mass (Kg)		
21. Special Conditions				20. The exportation of the goods described above is hereby permitted, subject to the conditions overleaf and in box 21, as appropriate.				
22. For customs purposes only				<div style="border: 1px solid black; padding: 5px;">             Bill of Lading/Air Waybill No.:           </div>				
Quantity Exported Qty/Net Mass (Kg) Animals dead on arrival		<div style="border: 1px solid black; padding: 2px;">             Customs document              Type              Number              Date           </div>		<div style="border: 1px solid black; height: 40px; margin-bottom: 5px;"></div> Signature and official stamp				
<div style="border: 1px solid black; height: 40px; margin-bottom: 5px;"></div>		<div style="border: 1px solid black; height: 40px; margin-bottom: 5px;"></div>		<div style="border: 1px solid black; height: 40px; margin-bottom: 5px;"></div> Name of issuing Officer  Place and date of issue				

FIGURE D-26 Example of European Community CITES Export Permit



## France European Community CITES Permit/Certificate for Import/Export/Re-export


COMMUNAUTÉ EUROPÉENNE (FR)		N° 10592*01					
Original	1. Exportateur/réexportateur	<b>PERMIS/CERTIFICAT</b> <input type="checkbox"/> IMPORTATION <input type="checkbox"/> EXPORTATION <input type="checkbox"/> RÉEXPORTATION					
	3. Importateur	N° 2. Dernier jour de validité					
	6. Emplacement autorisé des spécimens vivants des espèces inscrites à l'annexe A, prélevés dans leur milieu naturel	 Convention sur le commerce international des espèces de flore et de faune sauvages menacées d'extinction					
1	7. Autorité de délivrance	4. Pays (ré)exportateur					
		5. Pays importateur					
	8. Description des spécimens (marques, sexe/date de naissance des animaux vivants)	9. Masse nette (kg)					
		10. Quantité					
		11. Annexe CITES	12. Annexe CE				
		13. Origine	14. Objet				
		15. Pays d'origine					
		16. Numéro du permis	17. Date de délivrance				
		18. Pays de dernière réexportation					
		19. Numéro du certificat	20. Date de délivrance				
	21. Nom scientifique de l'espèce						
	22. Nom commun de l'espèce						
	23. Conditions spéciales						
	Ce permis/certificat n'est valable que si les animaux vivants sont transportés conformément aux lignes directrices de la CITES en matière de transport et de préparation à l'envoi d'animaux sauvages vivants ou, en cas de transport aérien, conformément à la réglementation sur les animaux vivants publiée par l'IATA (Association du transport aérien international)						
	24. La documentation de (ré)exportation délivrée par le pays de (ré)exportation	25. <input type="checkbox"/> L'importation <input type="checkbox"/> L'exportation <input type="checkbox"/> La réexportation des marchandises décrites ci-dessus est autorisée.					
	<input type="checkbox"/> a été présentée à l'autorité de délivrance <input type="checkbox"/> doit être présentée au bureau de douane frontalier d'introduction	Signature et cachet officiel :					
	26. Numéro du connaissement/de la lettre de transport aérien :	Nom du fonctionnaire chargé de la délivrance :					
		Lieu et date de délivrance :					
	27. Réserve à la douane	Signature et cachet officiel :					
	<table border="1"> <tr> <td>Quantité/masse nette (kg) réellement importée</td> <td>Nombre d'animaux morts à l'arrivée</td> </tr> <tr> <td></td> <td></td> </tr> </table>	Quantité/masse nette (kg) réellement importée	Nombre d'animaux morts à l'arrivée			Document douanier	
Quantité/masse nette (kg) réellement importée	Nombre d'animaux morts à l'arrivée						
		Type :					
		Numéro :					
		Date :					

FIGURE D-27 Example of European Community France CITES Permit/Certificate for Import/Export/Re-export

## Germany European Community CITES Permit/Certificate for Import/Export/Re-export

EUROPÄISCHE GEMEINSCHAFT / EUROPEAN COMMUNITY		No. 2002/015 Mar. 6, 2002	
1	1. Ausführer/Wiederausführer / Exporter/Re-exporter	<b>GENEHMIGUNG/BESCHNEIGUNG</b> <b>PERMIT/CERTIFICATE</b> <input type="checkbox"/> <b>EINFUHR / IMPORT</b> <input type="checkbox"/> <b>AUSFUHR / EXPORT</b> <input type="checkbox"/> <b>WIEDERAUSFUHR / RE-EXPORT</b>	Nr. / No.  2. Letzter Tag der Gültigkeit Last day of validity
	3. Einführer / Importer	<b>Übereinkommen über den internationalen Handel mit gefährdeten Arten freilebender Tiere und Pflanzen</b> <i>Convention on International Trade in Endangered Species of Wild Fauna and Flora</i>	
	4. (Wieder-)Ausfuhrland / Country of (re-)export	5. Einfuhrland / Country of import	
1	6. Ort, an dem lebende, der Natur entnommene Exemplare von Arten in Anhang A gehalten werden sollen / Authorized location for live wild-taken specimens of Annex A species	7. Ausstellende Vollzugsbehörde / Issuing Management Authority <b>BUNDESAMT FÜR NATURSCHUTZ</b> <b>Konstantinstraße 110</b> <b>D-53179 BONN</b>	
	8. Beschreibung der Exemplare (einschl. Kennzeichnung, Geschlecht und Geburtsdatum lebender Tiere) / Description of specimens (incl. marks, sex/date of birth for live animals)	9. Nettomasse (kg) / Net mass (kg)	10. Menge / Quantity
	11. CITES-Anhang / CITES-Annex	12. EG-Anhang / EC Annex	13. Herkunft / Source
15. Ursprungsland / Country of origin		16. Genehmigung Nr. / Permit No.	
17. Ausstellungsdatum / Date of issue		18. Letztes Wiederausfuhrland / Country of last re-export	
19. Bescheinigung Nr. / Certificate No.		20. Ausstellungsdatum / Date of issue	
21. Wissenschaftlicher Artname / Scientific name of species			
22. Üblicher Artname / Common name of species			
23. Sonderbedingungen / Special conditions			
Diese Genehmigung/Bescheinigung gilt nur, wenn lebende Tiere oder Einnahme der CITES-Leitlinien für den Transport und die Vorbereitung des Transports von lebenden Wildtieren oder, im Falle eines Lufttransports, der Vorschriften des Internationalen Luftverkehrsverbandes (IATA) für den Transport lebender Tiere befolgt werden / This permit/certificate is only valid if live animals are transported in compliance with the CITES Guidelines for the transport and preparation for shipment of live wild animals or, in the case of air transport, the Live Animals Regulation published by the International Air Transport Association (IATA).			
24. Die (Wieder-)Ausfuhrunterlagen des (Wieder-)Ausfuhrlandes / The (re-)export documentation from the country of (re-)export wurde der ausstellenden Behörde vorgelegt / has been surrendered to the issuing authority sind der Einfuhrzollstelle vorzulegen / has to be surrendered to the border customs office of importation.		25. Die <input type="checkbox"/> Einfuhr <input type="checkbox"/> Ausfuhr <input type="checkbox"/> Wiederausfuhr <input type="checkbox"/> importation <input type="checkbox"/> exportation <input type="checkbox"/> re-exportation der oben beschriebenen Waren wird hiermit genehmigt / of the goods described above is hereby permitted. Unterschrift und Stempel der Behörde / Signature and official stamp:	
26. Frachtonell/Luftfrachtbrief-Nr. / Bill of Lading / Air Waybill Number		Name des ausstellenden Beamten / Name of issuing official:	
27. Nur für die Verzollung / For customs use only		Ort und Datum der Ausstellung / Place and date of issue:	
Zolldokument / Customs document Typ: / Type: Anzahl: / Number: Datum: / Date:		Unterschrift und Stempel der Behörde / Signature and official stamp:	
Tatsächlich eingeführte Menge / Net mass (kg) / Quantity net mass (kg) actually imported Anzahl der bei Ankunft toten Tiere / Number of animals dead on arrival			

**FIGURE D-28 Example of Germany European Community CITES Permit/Certificate for Import/Export/Re-export**

## Ghana CITES Permit/Certificate for Export/Re-export/Import/Other

**CITES** CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA

PERMIT / CERTIFICATE No. 000001

☐ EXPORT  
☐ RE-EXPORT  
☐ IMPORT  
☐ OTHER:

Original

2. Valid until

3. Importer (name and address)

4. Exporter (name and address)

5a. Country of import

5. Special conditions

a. This permit is valid for six months from the date of issue  
b. This permit is not transferable  
c. Shipment is to be made in a single consignment  
d. Possession of this permit does not exempt the holder from compliance with other laws relating to the export of animals and trophies  
e. Your attention is drawn to the Wildlife Conservation Regulation, 1971 (L.I 685) and its amendments copies of which may be examined at the office of issue of this permit  
f. For live animals, this permit or certificate is only valid if the transport conditions conform to the Guidelines for Transport of Live Animals or, in the case of air transport, to the IATA Live Animals Regulations.  
g. Other conditions

6. Signature of the applicant

**Wildlife Division**  
(Forestry Commission)  
P. O. Box M239  
Accra  
Ghana, West Africa  
Tel 233-21-664654, 662360  
Fax 233-21-666476  
E-mail: wildlife@ncs.com.gh

5a. Purpose of the transaction (see reverse) 5b. Security stamp N°

7/8. SCIENTIFIC NAME (genus and species) AND COMMON NAME OF ANIMAL OR PLANT	9. Description of specimens, including identifying marks or numbers (age/sex/size/weight)	10. Appendix No. and source (see reverse)	11. Quality (including unit)	11a. Total exported Quota
7/8.	9.	10.	11.	11a.
A 12. Country of origin* Permit No. Date	12a. Country of last re-export Certificate No. Date	12b. No. of the operation ** or date of acquisition ***		
7/8.	10.	11.	11a.	
B 12. Country of origin* Permit No. Date	12a. Country of last re-export Certificate No. Date	12b. No. of the operation ** or date of acquisition ***		
7/8.	10.	11.	11a.	
C 12. Country of origin* Permit No. Date	12a. Country of last re-export Certificate No. Date	12b. No. of the operation ** or date of acquisition ***		
7/8.	10.	11.	11a.	
D 12. Country of origin* Permit No. Date	12a. Country of last re-export Certificate No. Date	12b. No. of the operation ** or date of acquisition ***		

\* Country in which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export)  
\*\* Only for specimens of Appendix-species bred in captivity or artificially propagated for commercial purposes  
\*\*\* For pre-Convention specimens

13. THIS PERMIT IS ISSUED BY:

Place Date Security stamp, signature and official seal

14. EXPORT ENDORSEMENT: 15. Bill of Lading/Air Waybill Number:


Block	Quantity
A	
B	
C	

Port of Export Date Signature Official stamp and title

**CITES PERMIT / CERTIFICATE N**


FIGURE D-29 Example of Ghana CITES Permit/Certificate for Export/Re-export/Import/Other

## Guatemala CITES Permit for Export/Re-export/Import



**CERTIFICADO CITES**  
**Nº ANULADO**  
CONVENCIÓN SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES  
AMENAZADAS DE FAUNA Y FLORA SILVESTRE (CITES)

CONSEJO NACIONAL DE ÁREAS PROTEGIDAS (CONAP)  
REPÚBLICA DE GUATEMALA, C. A.



1. PERMISO NÚMERO: \_\_\_\_\_

☐ EXPORTACIÓN  
☐ REEXPORTACIÓN  
☐ IMPORTACIÓN

2. VÁLIDO HASTA: \_\_\_\_\_

3. TIMBRE CITES nombre y dirección de autoridad Administrativa:  <div style="text-align: center; font-size: 2em; font-weight: bold; transform: rotate(-5deg); opacity: 0.5;">ANULADO</div>		4. DESTINATARIO U ORIGEN DEL EMBARQUE (Nombre, Dirección, País)  	
5. TITULAR DEL PERMISO (Nombre, identificación, dirección, País)  		6. CONDICIONES ESPECIALES  	
7. NOMBRES (Común y científico del animal o planta)	8. DESCRIPCIÓN (No. de identificación, edad, sexo)	9. APÉNDICE Y PROCEDENCIA (W.C.A. u O.)	10. CANTIDAD (Número, Letras y Peso Kg.)
A.		11. PAÍS DE ORIGEN	12. PERMISO No.
B.		11. PAÍS DE ORIGEN	12. PERMISO No.
C.		11. PAÍS DE ORIGEN	12. PERMISO No.
D.		11. PAÍS DE ORIGEN	12. PERMISO No.
E.		11. PAÍS DE ORIGEN	12. PERMISO No.
13. OBSERVACIONES			
14.			
15. COMPROBACIÓN DE EXPORTACIÓN/IMPORTACIÓN No. Permiso:		16. CONOCIMIENTO DE EMBARQUE	
17. Este CERTIFICADO es válido solo si está el sello y la Firma Oficiales.		FIRMA Y FECHA	

15. COMPROBACIÓN DE EXPORTACIÓN/IMPORTACIÓN

ITEM	CANTIDAD
A	
B	
C	
D	
E	

16. CONOCIMIENTO DE EMBARQUE

PUERTO DE EXPORTACIÓN/IMPORTACIÓN

TOTAL EMBARQUE, CAJAS O RECIPIENTES.

17. Este CERTIFICADO es válido solo si está el sello y la Firma Oficiales.

FIRMA Y FECHA

Original

FIGURE D-30 Example of Guatemala CITES Permit for Export/Re-export/Import

## Guyana CITES Permit/Certificate for Export/Re-export/Import/Other



 <b>CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA</b>		<b>PERMIT / CERTIFICATE No. 4005</b>									
		<input type="checkbox"/> EXPORT <input type="checkbox"/> RE-EXPORT <input type="checkbox"/> IMPORT <input type="checkbox"/> OTHER:									
		Original									
<b>3. Importer (name and address)</b>		<b>4. Exporter / Re-exporter (name and address, country)</b>									
<b>3a. Country of import</b>		Signature of the applicant									
<b>5. Special conditions</b>  <small>For live animals, this permit or certificate is only valid if the transport conditions conform to the Guidelines for Transport of Live Animals or, in the case of air transport, to the IATA Live Animals Regulations.</small>		<b>6. Name, address, national seal/stamp and country of Management Authority</b>  <div style="text-align: center;">  </div> The Wildlife Division Office of the President 295 Quamina Street South Cummingsburg Georgetown GUYANA									
<b>5a. Purpose of the transaction (see reverse)</b>		<b>5b. Security stamp N°</b>									
<b>7/8. SCIENTIFIC NAME (genus and species) AND COMMON NAME OF ANIMAL OR PLANT</b>		<b>9. Description of specimens, including identifying marks or numbers (age/sex if live)</b>									
<b>10. Appendix No. and source (see reverse)</b>		<b>11. Quantity (including unit)</b>									
<b>11a. Total exported/ Quota</b>											
<b>A</b> 7/8. _____ 12. Country of origin * Permit No. _____ Date _____ 12a. Country of last re-export Certificate No. _____ Date _____ 12b. No. of the operation * * or date of acquisition * * *		<b>B</b> 7/8. _____ 12. Country of origin * Permit No. _____ Date _____ 12a. Country of last re-export Certificate No. _____ Date _____ 12b. No. of the operation * * or date of acquisition * * *									
<b>C</b> 7/8. _____ 12. Country of origin * Permit No. _____ Date _____ 12a. Country of last re-export Certificate No. _____ Date _____ 12b. No. of the operation * * or date of acquisition * * *		<b>D</b> 7/8. _____ 12. Country of origin * Permit No. _____ Date _____ 12a. Country of last re-export Certificate No. _____ Date _____ 12b. No. of the operation * * or date of acquisition * * *									
<small>* Country in which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export)                  * * Only for specimens of Appendix-I species bred in captivity or artificially propagated for commercial purposes                  * * * For pre-Convention specimens</small>											
<b>13. THIS PERMIT IS ISSUED BY:</b>  <div style="display: flex; justify-content: space-between;"> <div>Place _____</div> <div>Date _____</div> <div>Security stamp, signature and official seal _____</div> </div>											
<b>14. EXPORT ENDORSEMENT:</b>		<b>15. Bill of Lading/Air Way-bill Number:</b>									
<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 50%;">Block</th> <th style="width: 50%;">Quantity</th> </tr> <tr> <td>A</td> <td></td> </tr> <tr> <td>B</td> <td></td> </tr> <tr> <td>C</td> <td></td> </tr> </table>		Block	Quantity	A		B		C			
Block	Quantity										
A											
B											
C											

FIGURE D-31 Example of Guyana CITES Permit for Export/Re-export/Import/Other

**FIGURE D-32 Example of Honduras CITES Permit for Export/Re-export/Import/Other**

**FIGURE D-33 Example of Indonesia CITES Permit for Export/Import/Re-export/Other**



## Italy European Community CITES Permit/Certificate for Import/Export/Re-export


COMUNITA EUROPEA		(IT)	
Originale	1. Esportatore/Riesportatore / Exporter/Re-exporter	LICENZA/CERTIFICATO PERMIT/CERTIFICATE <input type="checkbox"/> IMPORT <input type="checkbox"/> EXPORT <input type="checkbox"/> RE-EXPORT	N. _____ 2. Ultimo giorno di validità / Last day of validity
	3. Importatore / Importer	 <b>Convenzione sul commercio internazionale delle specie di flora e di fauna selvatiche minacciate di estinzione</b>	
	4. Paese di (ri)esportazione / Country of (re)export	5. Paese di importazione / Country of import	
	6. Indirizzo autorizzato presso il quale saranno custoditi gli esemplari vivi prelevati dall'ambiente naturale delle specie dell'allegato A	7. Organo di gestione che rilascia il documento / Issuing Management Authority <b>CORPO FORESTALE DELLO STATO SERVIZIO CITES</b>	
8. Descrizione degli esemplari (compresi marchiature, sesso, data di nascita per gli animali vivi) / Description of specimens	9. Massa netta (kg) / Net mass (kg)	10. Quantità / Quantity	
	11. Appendice CITES	12. Allegato GE	13. Fonte / Source
	14. Scopo / Purpose		
	15. Paese di origine / Country of origin		
	16. N. licenza / Permit No.		
	17. Data di rilascio / Date of issue		18. Paese di ultima riesportazione / Country of last re-export
	19. N. di certificato / Certificate No.		20. Data di rilascio / Date of issue
21. Nome scientifico delle specie / Scientific name of species			
22. Nome comune delle specie / Common name of species			
23. Annotazioni particolari / Special conditions			
<p>La presente licenza o il presente certificato sono validi solo se il trasporto è effettuato in conformità alle linee guida CITES per il trasporto e la preparazione ai trasporti di animali vivi o, in caso di trasporto aereo, alle norme concernenti gli animali vivi pubblicate dalla IATA (Associazione internazionale dei trasporti aerei) / The permit/certificate is only valid if the live animals are transported in compliance with the CITES Guidelines for the Transport and Preparation for Shipment of Live Wild Animals or, in the case of air transport, the Live Animals Regulations published by the International Air Transport Association (IATA)</p>			
24. La documentazione di importazione dal paese di (ri)esportazione		25. La <input type="checkbox"/> importazione <input type="checkbox"/> esportazione <input type="checkbox"/> riesportazione delle merci di cui sopra è autorizzata / The <input type="checkbox"/> importation <input type="checkbox"/> exportation <input type="checkbox"/> re-exportation of the goods described above is hereby permitted	
<input type="checkbox"/> è stata consegnata all'Autorità di rilascio <input type="checkbox"/> deve essere consegnata all'ufficio doganale di introduzione di frontiera		Firma e timbro ufficiale / Signature and official stamp	
<div style="border: 1px solid black; height: 100px; width: 100%;"></div>		Nome del funzionario che rilascia l'autorizzazione / Name of issuing official	
26. N. della lettera di carico - di trasporto aereo / Bill of Lading - Air Waybill Number		Luogo e data del rilascio / Place and date of issue	
27. Riservato all'ufficio doganale		Firma e timbro ufficiale	
Quant./massa netta (kg) effettivamente importata	N. di animali deceduti durante il trasporto	Documento doganale	
		Tipo:	
		Numero:	
		Data:	

FIGURE D-34 Example of Italy CITES Permit/Certificate for Import/Export/Re-export



## Japan CITES Permit for Export

別紙様式 (1)

絶滅のおそれのある野生動植物の種の国際取引に関する条約に基づく日本国輸出許可申請書

Export Permit; Government of Japan

Convention on International Trade in Endangered Species of Wild Fauna and Flora

\* 輸出許可書番号 (Export Permit No.) \_\_\_\_\_ \* 有効期限(日付) (Valid Until) \_\_\_\_\_

氏名又は名称  
(This permit is issued to) \_\_\_\_\_

住 所  
(Address) \_\_\_\_\_



この許可書は、次の者が行う次のものの輸出について発給する。この許可書の発給を受けた者は、この条約を了知していることを宣言する。

Who declares that he is aware of the provisions of the Convention, for the purpose of the following export.

附属書 I)、附属書 II)、に掲げる 種の学名及び俗名 Species listed in Appendix I Appendix II of the Convention (scientific and common name)	標本 Specimen(s) 部分 Part(s) 派生物 Derivative(s) (産品の種類) (indicate the の区分 type of product)	性 別 Sex 及び大きさ Size	数 量 Quantity	金 額 Value

飼育により繁殖された場所又は栽培された場所  
(bred in captivity or cultivated in) \_\_\_\_\_

輸出又は再輸出の別 (Export or Re-export) \_\_\_\_\_

仕向国  
(Destination) \_\_\_\_\_

輸出許可書番号及び発行国  
(Export Permit No., issuing country) \_\_\_\_\_

輸入業者名、住所  
(Name and address of consignee) \_\_\_\_\_

原産国 (Country of origin) \_\_\_\_\_

船積予定港  
(Scheduled port of shipping) \_\_\_\_\_

目的 (Purpose) \_\_\_\_\_

船積予定日  
(Estimated date of shipping) \_\_\_\_\_

- (注) 1. \*印の欄は記入しないで下さい。  
2. 用紙の大きさは、日本工業規格 A 列 4 番とする。  
3. 英文のタイプ印書で記入して下さい。  
4. 種の記載については、特定された「種の学名及び俗名」を記入して下さい。また、ラテン語で括弧書きして下さい。  
5. 「輸出許可書番号及び発行国」の記載は、本邦からの再輸出（加工品の場合にあっては、その原材料をいう。）の場合についてのみ記入して下さい。

\* 署 名  
(Signature) \_\_\_\_\_

\* 許可年月日  
(Date) \_\_\_\_\_

貿易局輸出 (金貿易用紙進型) 印刷

FIGURE D-35 Example of Japan CITES Export Permit

## Malaysia CITES Permit/Certificate for Export/Re-export/Import/Other

No. 2002/015    Mar. 6, 2002

**Original**  
Present to Malaysian and Foreign  
Customs on export/re-export/import

**KERAJAAN MALAYSIA**  
 GOVERNMENT OF MALAYSIA

**PERMIT/ SIJIL NO:**  
PERMIT/ CERTIFICATE NO.

**KONVENSIEN PERDAGANGAN  
ANTARABANGSA MENGENAI SPESIES  
FAUNA DAN FLORA TERANCAM**  
CONVENTION ON INTERNATIONAL TRADE IN  
ENDANGERED SPECIES OF WILD FAUNA AND FLORA

☐ EKSPORT / EXPORT    ☐ IMPORT / IMPORT  
☐ EKSPORT SEMULA / RE-EXPORT    ☐ LAIN-LAIN/ OTHERS

3. Pengimport (nama dan alamat)  
*Importer (name and address)*

---

3a. Negara Pengimport  
*Country of Import*

---

5. Syarat-Syarat Khas / *Special conditions*

---

5a. Tujuan Urusniaga  
*Purpose of transaction*

---

5b. No. Setem / *Security Stamp No.*

---

2. Sah sehingga / *Valid Until* :

---

4. Pengeksporth (nama dan alamat)  
*Exporter (name and address)*

---

Tandatangan Pemohon  
*Signature of the applicant*

---

6. Nama, alamat, cap rasmi dan negara Pihak Berkuasa Pengurusan  
*Name, address, national seal/stamp and country of Management Authority*

**LEMBAGA PERINDUSTRIAN KAYU MALAYSIA**  
 (Malaysian Timber Industry Board)

7.8 Nama Saintifik dan Nama Biasa <i>Scientific Name and Common Name</i>			9. Perthal / Spesimen termasuk, tanda pengenal / nombor (umur/ jantina jika hidup) <i>Description of specimens, including identifying mark or numbers (age/sex if live)</i>		10. No. Apendiks/ sumber <i>Appendix No./Source</i>	11. Isipadu (meter padu) <i>Volume (cubic meter)</i>	11a. Jumlah telah dieksporth / Kuota <i>Total Exported /Quota</i>
7.8			9.		10	11	11a.
A	12 Negara Asal * <i>Country of origin*</i>	No. Permit <i>Permit No</i>	Tarikh <i>Date</i>	12a Negara Pengeksporth semula <i>Country of last Re-export</i>	No. Sijil <i>Certificate No.</i>	Tarikh <i>Date</i>	12b No. operasi pembiakan**/Tarikh pemilikan* <i>No. of breeding operation**/ or date of acquisition*</i>
	7.8			9.	10	11	11a.
B	12 Negara Asal * <i>Country of origin*</i>	No. Permit <i>Permit No</i>	Tarikh <i>Date</i>	12a Negara Pengeksporth semula <i>Country of last Re-export</i>	No. Sijil <i>Certificate No.</i>	Tarikh <i>Date</i>	12b No. operasi pembiakan**/Tarikh pemilikan* <i>No. of breeding operation**/ or date of acquisition*</i>
	7.8			9.	10	11	11a.
C	12 Negara Asal * <i>Country of origin*</i>	No. Permit <i>Permit No</i>	Tarikh <i>Date</i>	12a Negara Pengeksporth semula <i>Country of last Re-export</i>	No. Sijil <i>Certificate No.</i>	Tarikh <i>Date</i>	12b No. operasi pembiakan**/Tarikh pemilikan* <i>No. of breeding operation**/ or date of acquisition*</i>
	7.8			9.	10	11	11a.

\* Negara di mana spesimen diperolehi (bagi eksporth semula)  
*(Country in which the specimens were taken (only in case of re-export))*

\*\* Hanya bagi spesimen di bawah Apendiks I yang dibesarkan / pembiakan berdasar bagi tujuan komersial  
*(Only for specimens of Appendix-I species bred in captivity or artificially propagated for commercial purposes)*

# Untuk spesimen pra-konvensyen. (for pre-Convention specimens)

13. PERMIT/SIJIL INI DIKELUARKAN OLEH :  
*THIS PERMIT/CERTIFICATE IS ISSUED BY :*

Tempat  
*Place*

---

Tarikh  
*Date*

---

Setem Keselamatan, tandatangan dan cap rasmi  
*Security Stamp, signature and official seal*

---

14. PENGESAHAN EKSPORT / *EXPORT ENDORSEMENT*

Blok (Block)	Isipadu (Volume)
A	
B	
C	

15. No. bil muatan/ no. bil udara :  
*Bil of lading/Air Waybill Number*

---

Tempat Pengeksporth  
*Port of Export*

---

Tarikh  
*Date*

---

Tandatangan  
*Signature*

---


Cop dan Jawatan Pegawai  
*Official stamp and title*

---


Copy for the Management Authority of Importing Country

FIGURE D-36 Example of Malaysia CITES Permit/Certificate for Export/Re-export/Import/Other (Malaysian Timber Industry)

## Malaysia CITES Permit/Certificate for Export/Re-export/Import/Other



**Forestry Department**  
(CITES Management Authority  
Sarawak, Malaysia)



**FEDERATION OF  
MALAYSIA**

**PERMIT / CERTIFICATE No. BTU 000001**

**ORIGINAL**

1. Importer (name and address)

3a. Country of import

5. Special conditions


This document is issued for Ramin (*Gonystylus* spp) part and derivatives under reservation by Malaysian government (except for logs and sawn timber)

5a. Purpose of the transaction (see reverse)      5b. Security stamp No.

4. Exporter (name and address, country)

Signature of the applicant

or Name, address, national seal/stamp and country of Management Authority.



**Regional Forest Office Bintulu**  
**97000 Bintulu**  
**Sarawak, Malaysia.**

7/8	9	10	11	11a
7/8	9	10	11	11a
<p>12. Country of origin*</p> <p>Permit No.</p> <p>Date</p>	<p>12a. Country of last re-export</p> <p>Certificate No.</p> <p>Date</p>			
			12b. No. of the operation ** or date of acquisition ***	

\* Country in which the specimens were taken from the wild, bred in captivity or artificially propagated (only in case of re-export)  
 \*\* Only for specimens of Appendix I species bred in captivity or artificially for commercial purposes  
 \*\*\* For pre-Convention specimens.

13. THIS PERMIT IS ISSUED BY:

Place \_\_\_\_\_ Date \_\_\_\_\_ Signature and Official seal \_\_\_\_\_

14. EXPORT ENDORSEMENT.

Block	Quantity
A	
B	
C	
D	

15. Bill of Lading/Air Waybill Number \_\_\_\_\_

Port of export \_\_\_\_\_ Date \_\_\_\_\_ Signature \_\_\_\_\_ Official stamp and title \_\_\_\_\_

**ORIGINAL**

**FIGURE D-37 Example of Malaysia CITES Permit/Certificate for Export/Re-export/Import/Other (Forestry Department)**

## Mexico CITES Permit/Certificate for Import/Export/Re-export/Other



 <b>SECRETARIA DE MEDIO AMBIENTE Y RECURSOS NATURALES</b>		 <b>CONVENCION SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES AMENAZADAS DE FAUNA Y FLORA SILVESTRES</b>		HOJA DE 1 CERTIFICADO CITES ORIGINAL No. <b>MX</b>													
				2 VALIDO HASTA IMPORTACION EXPORTACION REEXPORTACION CTRCS													
3 Destinatario (nombre y direccion) <div style="text-align: center; font-size: 2em;">U</div>		4 Titular (nombre y direccion, pais) 															
3a Pais de destino 5 Condiciones especiales Para animales vivos: Este Certificado es Valido solo si las condiciones de transporte se ajustan a las directrices CITES para el transporte de animales vivos o, en caso del transporte aereo, a la reglamentación de la IATA sobre el transporte de animales vivos.		6 Nombre, direccion y pais de la Autoridad Administrativa <b>SUBSECRETARIA DE GESTION PARA LA PROTECCION AMBIENTAL, DIRECCION GENERAL DE VIDA SILVESTRE, AV. REVOLUCION 1425 NIVEL 20, COL. TLACOPAC, DELEG. ALVARO OBREGON, 01040 - MEXICO, D.F.</b>															
7a. Objetivos de la transaccion <div style="text-align: center; font-size: 2em;">E</div>		7b NOMBRE COMUN Y NOMBRE CIENTIFICO (genero y especie) del animal o planta		9 Descripción parte o derivado, marcas o numeros de identificación (edad/sexo vivos)													
10 Apéndice y Procedencia		11 Cantidad: numero de especímenes y/o peso neto (kg.)		11a Total exportado (Cupo)													
12. Pais de origen* Permiso No. Fecha		12a Pais de la última reexportación No. de certificado Fecha		12b No. de la operación ** o fecha de la adquisición ***													
12. Pais de origen* Permiso No. Fecha		12a Pais de la última reexportación No. de certificado Fecha		12b No. de la operación ** o fecha de la adquisición ***													
12. Pais de origen* Permiso No. Fecha		12a Pais de la última reexportación No. de certificado Fecha		12b No. de la operación ** o fecha de la adquisición ***													
12. Pais de origen* Permiso No. Fecha		12a Pais de la última reexportación No. de certificado Fecha		12b No. de la operación ** o fecha de la adquisición ***													
12. Pais de origen* Permiso No. Fecha		12a Pais de la última reexportación No. de certificado Fecha		12b No. de la operación ** o fecha de la adquisición ***													
12. Pais de origen* Permiso No. Fecha		12a Pais de la última reexportación No. de certificado Fecha		12b No. de la operación ** o fecha de la adquisición ***													
* Indicar el país en el cual los especímenes fueron capturados o recolectados en la naturaleza, nacidos o criados en cautividad o reproducidos artificialmente (solo en caso de Reexportación) ** Solamente para los especímenes del Apéndice I nacidos y criados en cautividad con fines comerciales *** Para los especímenes pre-Convención																	
13. ESTE CERTIFICADO ES EMITIDO POR LA AUTORIDAD ADMINISTRATIVA CITES MEXICO. DIRECCION GENERAL DE VIDA SILVESTRE. <div style="display: flex; justify-content: space-between; align-items: center;"> <div>           MEXICO, D.F.            LUGAR         </div> <div>           FECHA         </div> <div>           FIRMA  <b>EL DIRECTOR GENERAL FERNANDO CLEMENTE</b> </div> </div>																	
14. APROBACION DE LA: <table border="1" style="width: 100%;"> <thead> <tr> <th>Var Item 7</th> <th>Cantidad</th> </tr> </thead> <tbody> <tr><td>1</td><td></td></tr> <tr><td>2</td><td></td></tr> <tr><td>3</td><td></td></tr> <tr><td>4</td><td></td></tr> <tr><td>5</td><td></td></tr> </tbody> </table>						Var Item 7	Cantidad	1		2		3		4		5	
Var Item 7	Cantidad																
1																	
2																	
3																	
4																	
5																	
15. Conocimiento de embarque/carta de porte aereo POR LAS ADUANAS INDICADAS EN EL MANUAL DE PROCEDIMIENTOS VIGENTE, PUBLICADO EN EL DIARIO OFICIAL DE LA FEDERACION EL 26 DE MARZO DE 1999 Puerto de: FECHA FIRMA																	

FIGURE D-38 Example of Mexico CITES Permit for Export/Re-export/Import/Other

## Nepal CITES Permit/Certificate for Export/Re-export/Other


 <p>His Majesty's Government Ministry of Forests and Soil Conservation Department of Forests</p>		<p>No.:</p> <p><b>NEPAL</b></p>				
<p><b>CITES</b> Convention on International Trade in Endangered Species of Wild Fauna and Flora</p>		<input type="checkbox"/> EXPORT PERMIT <input type="checkbox"/> RE-EXPORT CERTIFICATE <input type="checkbox"/> OTHER CERTIFICATE		<p>1. CITES STAMP NUMBER</p>		
<p>5. Applicant (name, address, country, telephone and fax nos.)</p>		<p>3. Special Conditions and Other Information</p>		<p>2. VALID UNTIL (y / m / d)</p>		
<p>5. Exporter (name, address, country, telephone and fax nos.)</p>		<p>7. Consignee (name, address, country, telephone and fax nos.)</p>		<p>4. Purpose of the transaction</p>		
<p>8. Scientific name (genus and species)</p>	<p>9. Common name</p>	<p>10. Description of specimen, marks, and ages (if live)</p>	<p>11. Appendix</p>	<p>12. Source</p>	<p>13. Quantity &amp; Unit</p>	<p>14. Export Quota</p>
<p>15a. Country of origin</p>	<p>Permit No.</p>	<p>Date (y / m / d)</p>	<p>15b. Country of last re-export</p>	<p>Certificate No.</p>	<p>Date (y / m / d)</p>	<p>16. Pre-convention (date of acquisition)</p>
<p>17. The undersigned hereby certifies that all information given in this application is true and correct</p> <p>Signature _____</p> <p>Name: _____ Title: _____ (y / m / d)</p>			<p>18. This Permit/Certificate is issued by/Management Authority: Department of Forests P.O. Box : 20607, Babarmahal, Kathmandu Phone: 977-1-4227874, 4220303, 4221231. Fax: 977-1-4227374 E-mail: _____</p> <p>Date of Issue: _____ (y / m / d)</p> <p>Stamp of Management Authority: _____</p>			
<p>19. Export/Re-Export Endorsement The Customs Official inspecting shipment upon exportation/re-exportation must enter the actual quantities of specimens being exported/re-exported</p>		<p>20. Bill of Lading/Air Way Bill Number</p> <p>Port of Exportation/re-exportation</p> <p>Total No. of Shipping Containers</p>		<p>21. Importing Customs Office Stamp, Signature and Date of the Inspecting Official</p> <p>Signature _____ Date _____</p>		
<p>ORIGINAL COPY TO BE RETAINED BY EXPORTER/IMPORTER                  SECOND COPY TO BE RETAINED BY CUSTOM OFFICE OF NEPAL                  THIRD COPY DEPARTMENT OF FORESTS RECORD COPY                  FOURTH COPY TO BE RETAINED BY IMPORTING CUSTOMS OFFICE</p>						
<p><b>EXPORTER/IMPORTER COPY</b></p>						

FIGURE D-39 Example of Nepal CITES Permit/Certificate for Export/Re-export/Other

## Nicaragua CITES Permit for Export/Re-export/Import

<b>CONVENCION SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES AMENAZADAS DE FAUNA Y FLORA SILVESTRES</b>		<b>PERMISO N° 00000</b> <input type="checkbox"/> EXPORTACION      Original <input type="checkbox"/> RE-EXPORTACION <input type="checkbox"/> IMPORTACION	
3. Destinatario (nombre y dirección)		4. Titular (nombre y dirección, país)	
3a. País de destino		2. Válido hasta el	
5. Condiciones especiales  <small>Para animales vivos: Este permiso es válido sólo si las condiciones de transporte se ajustan a las directrices CITES sobre el transporte de animales vivos o, en caso del transporte aéreo, a la reglamentación de la IATA sobre el transporte de animales vivos.</small>		6. Nombre, dirección, sello/timbre nacional y país de la Autoridad Administrativa  <div style="text-align: center;">   <b>REPUBLICA DE NICARAGUA</b>  <b>Ministerio del Ambiente y Recursos Naturales (MARENA)</b>  <b>Km. 12 1/2 Carretera Norte</b>  <b>Apdo. no. 5123</b>  <b>MANAGUA NICARAGUA</b> </div>	
Estampilla de seguridad N°			
7./8. NOMBRE COMUN Y NOMBRE CIENTIFICO (género y especie) DEL ANIMAL O PLANTA	9. Descripción parte o derivado: marcas o números de identificación (edad/sexo si vivos)	10. Apéndice N° y procedencia (W.C.A., o O)	11a. Cantidad: número de especímenes y/o peso neto (Kg.) 11b. saldo del cupo / cupo anual nacional
A.			
		12. País de origen *	Permiso N° y fecha
B.			
		12. País de origen *	Permiso N° y fecha
C.			
		12. País de origen *	Permiso N° y fecha
D.			
		12. País de origen *	Permiso N° y fecha
E.			
		12. País de origen *	Permiso N° y fecha
F.			
		12. País de origen *	Permiso N° y fecha
* Indicar el país en el cual los especímenes fueron capturados o recolectados en la naturaleza, nacidos y criados en cautividad o reproducidos artificialmente (sólo en caso de reexportación).			
13. ESTE PERMISO ES EMITIDO POR LA AUTORIDAD SIGUIENTE:			
Lugar	Fecha	Firma	Sello y cargo oficiales
Estampilla de seguridad			
14. APROBACION DE LA EXPORTACION:		15. Conocimiento de embarque/carta de porte aéreo:	
Ver ítem 7	Cantidad		
A.			
B.			
C.			
D.			
E.			
F.			
Puerto de exportación		Fecha	Firma
		Sello y cargo oficiales	

8-26

PERMISO N° 00000

FIGURE D-40 Example of Nicaragua CITES Permit for Export/Re-export/Import

## Panama CITES Permit for Export/Re-export/Import



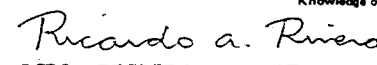

LEY 14 DEL 24 DE OCTUBRE DE 1977 <b>CITES</b> CONVENCIÓN SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES AMENAZADAS DE FAUNA Y FLORA SILVESTRES CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA		REPÚBLICA DE PANAMÁ  <b>INSTITUTO NACIONAL DE RECURSOS NATURALES RENOVABLES</b> INRENARE		EXPORTACION Export <input checked="" type="checkbox"/> REEXPORTACION Re-export <input type="checkbox"/> IMPORTACION Import <input type="checkbox"/>		<b>PERMISO ORIGINAL</b> ORIGINAL PERMIT <b>No. 53-2000</b> 2. VALIDO HASTA EL Valid until <b>20 feb. 2001</b>									
3. DESTINATARIO (NOMBRE Y DIRECCION, PAIS) Consignee (name and address, country)			4. TITULAR (NOMBRE Y DIRECCION, PAIS) Consignor (name and address, country)												
5. CONDICIONES ESPECIALES Special conditions  Estampilla de sellos: 1000 24 911			6. NOMBRE, DIRECCION, SELLO/TIMBRE NACIONAL DE LA AUTORIDAD ADMINISTRATIVA Name, address, seal/national stamp of the administrative authority <b>INSTITUTO NACIONAL DE RECURSOS NATURALES RENOVABLES</b> <b>APARTADO 2015 - PARAISO</b> <b>CORREGIMIENTO DE ANCON</b> 												
7. NOMBRE COMUN DEL ANIMAL O PLANTA Common name of the animal or plant	8. NOMBRE CIENTIFICO DEL ANIMAL O PLANTA Scientific name of the animal or plant GENERO ESPECIE Genus Species	9. DESCRIPCION PARTE O DERIVADO MARCAS O NUMEROS DE IDENTIFICACION (EDAD, SEXO SI VIVOS) Description mark or identity number (age/sex if alive)		10. APENDICE No. Y PROVENIENCIA (W.C.A. o O) Appendix No. and origin	11. CANTIDAD: NUMERO DE ESPECIMENES Y/O PESO NETO (Kg.) Quantity number of specimens and/or weight (Kg.)										
A Caoba	Swietenia Macrophylla	Tablas de madera		III W	28.28 m3										
				PAIS DE ORIGEN * Country of origin Panamá	PERMISO No. Permit No.										
B				*****											
				PAIS DE ORIGEN * Country of origin	PERMISO No. Permit No.										
C															
				PAIS DE ORIGEN * Country of origin	PERMISO No. Permit No.										
D															
				PAIS DE ORIGEN * Country of origin	PERMISO No. Permit No.										
* 12. PAIS EN EL CUAL LOS ESPECIMENES FUERON CAPTURADOS O RECOLECTADOS EN LA NATURALEZA O ARTIFICIALMENTE. Country where specimens were captured or collected in the wild, born and reared in captivity or reared artificially.															
13. ESTE PERMISO ES EMITIDO POR LA AUTORIDAD SIGUIENTE: This permit is given by the following authority:  LUGAR Panamá, Rep. de Panamá Place  FECHA 20 noviembre de 2000 FIRMA Date Signature  CARGO OFICIAL Official rank															
14. APROBACION DE LA EXPORTACION O DE LA IMPORTACION Approval of export - of import				15. CONOCIMIENTO DE EMBARQUE/CARTA DE PORTE AEREO Knowledge of embarkation/card of air department											
VER ITEM 7 See item 7 <table border="1"> <tr> <td>A</td> <td>28.28 m3</td> </tr> <tr> <td>B</td> <td></td> </tr> <tr> <td>C</td> <td></td> </tr> <tr> <td>D</td> <td></td> </tr> </table>		A	28.28 m3	B		C		D		 LCDO. RICARDO A. RIVERA J. Director Nacional de Patrimonio Natural					
A	28.28 m3														
B															
C															
D															

FIGURE D-41 Example of Panama CITES Permit for Export/Re-export/Import

## Paraguay CITES Permit/Certificate for Export/Re-export/Import/Other



**CONVENCION SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES AMENAZADAS DE FAUNA Y FLORA SILVESTRES**

**PERMISO / CERTIFICADO N° 000000**

☐ EXPORTACION  
☐ RE-EXPORTACION  
☐ IMPORTACION  
☐ OTRO:

Original


2. Válido hasta el

3. Importador (nombre y dirección)

4. Exportador / reexportador (nombre y dirección, país)

3a. País de importación

6. Nombre, dirección, sello/timbre nacional y país de la Autoridad Administrativa  
  



**Oficina CITES-Paraguay**  
**Calle Azara 1888 esq.**  
**Gral Aquino**  
**ASUNCIÓN, PARAGUAY**

5. Condiciones especiales  
  

Para animales vivos: Este permiso o certificado es válido sólo si las condiciones de transporte se ajustan a las Directrices CITES sobre el transporte de animales vivos o, en caso de transporte aéreo, a la Reglamentación de la IATA sobre el transporte de animales vivos.

5a. Fin de la transacción (Véase al dorso)      5b. Estampilla de seguridad N°

7./8. NOMBRE CIENTIFICO (género y especie) Y NOMBRE COMUN DEL ANIMAL O PLANTA.			9. Descripción de los especímenes: marcas o números de identificación (edad/sexo, si vivos)		10. Apéndice y origen (véase al dorso)	11. Cantidad (incluso la unidad de medida)	11a. Total exportador/ Cupo
7./8.			9.		10.	11.	11a.
A	12. País de origen *	Permiso N°	Fecha	12a. País de la última reexportación	N° de certificado	Fecha	12b. N° de la operación * * o fecha de adquisición * * *
	7./8.			9.		10.	11.
B	12. País de origen *	Permiso N°	Fecha	12a. País de la última reexportación	N° de certificado	Fecha	12b. N° de la operación * * o fecha de adquisición * * *
	7./8.			9.		10.	11.
C	12. País de origen *	Permiso N°	Fecha	12a. País de la última reexportación	N° de certificado	Fecha	12b. N° de la operación * * o fecha de adquisición * * *
	7./8.			9.		10.	11.
D	12. País de origen *	Permiso N°	Fecha	12a. País de la última reexportación	N° de certificado	Fecha	12b. N° de la operación * * o fecha de adquisición * * *

\* País en el que los especímenes fueron recolectados en la naturaleza, criados en cautividad o reproducidos artificialmente (sólo en caso de reexportación)

\* \* Solamente para los especímenes de especies incluidas en el Apéndice I criados en cautividad o reproducidos artificialmente con fines comerciales

\* \* \* Para los especímenes preconvencción

13. PERMISO EXPEDIDO POR:

Lugar

Fecha

Estampilla de seguridad, firma y sello oficiales

14. APROBACION DE LA EXPORTACION:

15. N° de conocimiento de embarque/carta de porte aéreo:

Sección	Cantidad
A	
B	
C	
D	

Puerto de exportación / reexportación

Fecha


Firma

Sello y cargo oficiales

FIGURE D-42 Example of Paraguay CITES Permit for Export/Re-export/Import



## Peru CITES Permit/Certificate for Export/Re-export/Import/Other



**CONVENCIÓN SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES AMENAZADAS DE FAUNA Y FLORA SILVESTRES**

**PERMISO / CERTIFICADO N° 0000**

☐ EXPORTACION  
☐ RE-EXPORTACION  
☐ IMPORTACION  
☐ OTRO:

Original

2. Válido hasta el

3. Importador (nombre y dirección)

---

3a. País de importación

---


5. Condiciones especiales

Para animales vivos: Este permiso o certificado es válido sólo si las condiciones de transporte se ajustan a las Directrices CITES sobre el transporte de animales vivos o, en caso de transporte aéreo, a la Reglamentación de la IATA sobre el transporte de animales vivos.

4. Exportador (nombre y dirección, país)

---

5. Nombre, dirección, sello/timbre nacional y país de la Autoridad Administrativa



**INRENA**

Instituto Nacional de Recursos Naturales (INRENA)  
Calle Diecisiete N° 355 (Los Petirrojos)  
Urbanización El Palomar  
San Isidro – Apartado Postal 4452  
LIMA 27 PERÚ

5a. Fin de la transacción (Véase al dorso)

---

5b. Estampilla de seguridad N°

---

7.8. NOMBRE CIENTÍFICO (género y especie) Y NOMBRE COMUN DEL ANIMAL O PLANTA.			9. Descripción de los especímenes: marcas o números de identificación (edad/sexo, si vivos)		10. Apéndice y origen (véase al dorso)	11. Cantidad (incluso la unidad de medida)	11a. Total exportado Cupe
7.8.			9.		10.	11.	11a.
A							
12. País de origen *	Permiso N°	Fecha	12a. País de la última reexportación	N° de certificado	Fecha	12b. N° de la operación * * o fecha de adquisición * * *	
7.8.			9.		10.	11.	11a.
B							
12. País de origen *	Permiso N°	Fecha	12a. País de la última reexportación	N° de certificado	Fecha	12b. N° de la operación * * o fecha de adquisición * * *	
7.8.			9.		10.	11.	11a.
C							
12. País de origen *	Permiso N°	Fecha	12a. País de la última reexportación	N° de certificado	Fecha	12b. N° de la operación * * o fecha de adquisición * * *	
7.8.			9.		10.	11.	11a.
D							
12. País de origen *	Permiso N°	Fecha	12a. País de la última reexportación	N° de certificado	Fecha	12b. N° de la operación * * o fecha de adquisición * * *	

\* País en el que los especímenes fueron recolectados en la naturaleza, criados en cautividad o reproducidos artificialmente (sólo en caso de reexportación)  
 \* \* Solamente para los especímenes de especies incluidas en el Apéndice I criados en cautividad o reproducidos artificialmente con fines comerciales  
 \* \* \* Para los especímenes preconvenidos

13. PERMISO EXPEDIDO POR:

---

Lugar

---

Fecha

---

Estampilla de seguridad, firma y sello oficiales

---

14. APROBACIÓN DE LA EXPORTACIÓN:

Sección	Cantidad
A	
B	
C	
D	

Puerto de exportación

---

Fecha

---

Firma

---

Sello y cargo oficiales

---

FIGURE D-43 Example of Peru CITES Permit for Export/Re-export/Import/Other

## United States CITES Permit/Certificate for Export/Re-export/Other

CITES Not. No.2001/095 Dec. 19, 2001

<p>FORM 3-201A (1/97)</p> <p><b>CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA</b></p>		<input type="checkbox"/> EXPORT PERMIT <input type="checkbox"/> RE-EXPORT CERTIFICATE <input type="checkbox"/> OTHER CERTIFICATE (see block 9)		Page 1 of _____ 1. Original Permit/Certificate No. _____ 2. Valid until _____
3. Permittee (name and address, country)		4. Consignee (name and address, country)		
<p style="font-size: 48px; opacity: 0.5;">SAMPLE</p>				
5. Special Conditions MUST COMPLY WITH ATTACHED GENERAL PERMIT CONDITIONS.		5a. Purpose of Transaction	5b. Security No.	
<p style="font-size: 48px; opacity: 0.5;">SAMPLE</p>		6. U.S. Management Authority  DIVISION OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA		
For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.		Issuing Date _____ United States Management Authority AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)		
7. Common Name and Scientific name (genus and species) of Animal or Plant		9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)		
A. Common Name _____  Scientific Name _____		10. Appendix No. and Source 10. _____ 11. Quantity (including units) 11a. Total Exported/Quota		
12. Country of Origin	Permit/Certificate No.	Date of Issue	12b. Breeding Operation No.	
12a. Country of Last Re-export	Re-export Certificate No.	Date of Issue	12c. Pre-Convention: Date of Acquisition	
B. Common Name _____  Scientific Name _____		10. _____ 11. Quantity (including units) 11a. Total Exported/Quota		
12. Country of Origin	Permit/Certificate No.	Date of Issue	12b. Breeding Operation No.	
12a. Country of Last Re-export	Re-export Certificate No.	Date of Issue		

FIGURE D-44 Example of United States CITES Permit/Certificate for Export/Re-export/Other

## United States CITES Permit/Certificate for Export/Re-export/Other


FORM 3-201A (1/97)  <b>CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA</b>		<input type="checkbox"/> EXPORT PERMIT <input type="checkbox"/> RE-EXPORT CERTIFICATE <input type="checkbox"/> OTHER CERTIFICATE (see block 9)		Page _____ of _____ 1. Original Permit/Certificate No. 2. Valid until							
3. Permittee (name and address, country)			4. Consignee (name and address, country)								
5. Special Conditions			5a. Purpose of Transaction		5b. Security Stamp No.						
			6. U.S. Management Authority  OFFICE OF MANAGEMENT AUTHORITY U.S. FISH AND WILDLIFE SERVICE DEPARTMENT OF THE INTERIOR WASHINGTON, D.C. 20240 UNITED STATES OF AMERICA								
For live animals, only valid if the transport conditions comply with the CITES Guidelines for Transport of Live Animals or, in the case of air transport, with IATA Live Animals Regulations.			Issuing Date _____ United States Management Authority AUTHORITY: Endangered Species Act of 1973 (16 USC 1531 et. seq.)								
7/8. Common Name and Scientific name (genus and species) of Animal or Plant		9. Description of Part or Derivative, including identifying marks or numbers (age/sex if live)		10. Appendix No. and							
Scientific Name _____		9.		10.							
				11. Quantity (including units)							
				11a. Total Exported/Quota							
12. Country of Origin	Permit/Certificate No.	Date of Issue	12b. Breeding Operation No.								
12a. Country of Last Re-export	Re-export Certificate No.	Date of Issue	12c. Pre-Convention: Date of Acquisition								
Common Name _____		9.		10.							
Scientific Name _____				11. Quantity (including units)							
				11a. Total Exported/Quota							
12. Country of Origin	Permit/Certificate No.	Date of Issue	12b. Breeding Operation No.								
12a. Country of Last Re-export	Re-export Certificate No.	Date of Issue	12c. Pre-Convention: Date of Acquisition								
13. Export / Re-export Endorsement: The official who inspects shipment upon exportation / re-exportation must enter the total quantities of specimens being exported / re-exported in this block.		14. Bill of Lading/Air Way-Bill Number		15. This document valid only with inspecting official's ORIGINAL stamp, signature and date in this block.							
<table border="1"> <tr> <td>See Block 7</td> <td>Quantity</td> </tr> <tr> <td></td> <td></td> </tr> <tr> <td></td> <td></td> </tr> </table>		See Block 7	Quantity					Port of Exportation / Re-exportation _____  Total No. of Shipping Containers _____		Inspecting Official's Stamp, Signature and Date _____	
See Block 7	Quantity										

FIGURE D-45 Example of United States CITES Permit/Certificate for Export/Re-export/Other

## Venezuela CITES Permit for Export/Re-export




 <b>MINISTERIO DEL AMBIENTE Y DE LOS RECURSOS NATURALES RENOVABLES CARACAS - VENEZUELA</b>		<b>REPUBLICA DE VENEZUELA</b>		<b>PERMISO CITES N°: 00000</b>																																				
 <b>CONVENCIÓN SOBRE EL COMERCIO INTERNACIONAL DE ESPECIES AMENAZADAS DE FAUNA Y FLORA SILVESTRES CONVENTION ON INTERNATIONAL TRADE IN ENDANGERED SPECIES OF WILD FAUNA AND FLORA</b>				<input type="checkbox"/> EXPORTACION EXPORT	<b>1) NUMERO: NUMBER</b>																																			
				<input type="checkbox"/> REEXPORTACION RE-EXPORT	<b>2) VALIDO HASTA: VALID UNTIL</b>																																			
<b>3) TITULAR DEL PERMISO (NOMBRE Y DIRECCION): CONSIGNOR OF THE PERMIT (NAME AND ADDRESS)</b>																																								
<b>4) CONSIGNADO A: (NOMBRE Y DIRECCION, PAIS) CONSIGNEE (NAME AND ADDRESS, COUNTRY)</b>																																								
<b>5) CONDICIONES ESPECIALES: SPECIAL CONDITIONS</b>																																								
<b>DESCRIPCION DEL (LOS) ESPECIMEN (ES) (DESCRIPTION OF THE SPECIMENS)</b>																																								
<table border="1"> <thead> <tr> <th colspan="2">8) NOMBRE (NAME)</th> <th>7) PARTE O DERIVADO, MARCAS O NUMEROS DE IDENTIFICACION (EDAD, SEXO SI ES VIVO) MARK OR IDENTITY NUMBER (AGE, SEX IF ALIVE)</th> <th>8) APENDICE No. Y PROCEDENCIA (W.C.A. &amp; O.) APPENDIX No. AND ORIGIN</th> <th>9) CANTIDAD: NUMERO DE ESPECIMENES Y/O PESO NETO (KG.) QUANTITY: NUMBER OF SPECIMENS AND/OR WEIGHT (kg)</th> </tr> <tr> <th>a) COMUN COMMON</th> <th>b) CIENTIFICO - SCIENTIFIC GENERO GENUS ESPECIE SPECIES</th> <th></th> <th></th> <th></th> </tr> </thead> <tbody> <tr><td>A)</td><td></td><td></td><td></td><td></td></tr> <tr><td>B)</td><td></td><td></td><td></td><td></td></tr> <tr><td>C)</td><td></td><td></td><td></td><td></td></tr> <tr><td>D)</td><td></td><td></td><td></td><td></td></tr> <tr><td>E)</td><td></td><td></td><td></td><td></td></tr> </tbody> </table>						8) NOMBRE (NAME)		7) PARTE O DERIVADO, MARCAS O NUMEROS DE IDENTIFICACION (EDAD, SEXO SI ES VIVO) MARK OR IDENTITY NUMBER (AGE, SEX IF ALIVE)	8) APENDICE No. Y PROCEDENCIA (W.C.A. & O.) APPENDIX No. AND ORIGIN	9) CANTIDAD: NUMERO DE ESPECIMENES Y/O PESO NETO (KG.) QUANTITY: NUMBER OF SPECIMENS AND/OR WEIGHT (kg)	a) COMUN COMMON	b) CIENTIFICO - SCIENTIFIC GENERO GENUS ESPECIE SPECIES				A)					B)					C)					D)					E)				
8) NOMBRE (NAME)		7) PARTE O DERIVADO, MARCAS O NUMEROS DE IDENTIFICACION (EDAD, SEXO SI ES VIVO) MARK OR IDENTITY NUMBER (AGE, SEX IF ALIVE)	8) APENDICE No. Y PROCEDENCIA (W.C.A. & O.) APPENDIX No. AND ORIGIN	9) CANTIDAD: NUMERO DE ESPECIMENES Y/O PESO NETO (KG.) QUANTITY: NUMBER OF SPECIMENS AND/OR WEIGHT (kg)																																				
a) COMUN COMMON	b) CIENTIFICO - SCIENTIFIC GENERO GENUS ESPECIE SPECIES																																							
A)																																								
B)																																								
C)																																								
D)																																								
E)																																								
<b>10) EN CASO DE REEXPORTACION: PAIS DE ORIGEN Y N° DE PERMISO IN CASE OF RE-EXPORT: COUNTRY OF ORIGIN AND PERMIT NUMBER</b>		<b>13) AUTORIDAD ADMINISTRATIVA QUE CONCEDE EL PERMISO ADMINISTRATIVE AUTHORITY GRANTING THE PERMIT</b>																																						
<b>11) PUERTO O AEROPUERTO DE EMBARQUE: PORT OR AIRPORT OF SHIPMENT</b>		<b>a) FIRMA: SIGNATURE</b>  <b>AUTORIDAD ADMINISTRATIVA CITES - VENEZUELA</b>		<b>(SELLO) STAMP OFFICE</b>																																				
<b>12) PUERTO O AEROPUERTO DE DESEMBARQUE: PORT OR AIRPORT OF LANDING</b>		<b>b) LUGAR PLACE</b>		<b>c) FECHA DATE</b>																																				
		CARACAS - VENEZUELA		D DAY M MONTH A YEAR																																				
<b>SOLO PARA USO DEL CONTROL DE SALIDA ONLY FOR OFFICIAL USE</b>				<b>14) ESTAMPILLA DE SEGURIDAD N° SECURITY STAMP N°</b>																																				
<b>MINISTERIO DE LA DEFENSA - RESGUARDO NACIONAL F.A.C. MINISTRY OF DEFENCE</b>		<b>MINISTERIO DE HACIENDA (ADUANA) MINISTRY OF PUBLIC TREASURY (CUSTOMS)</b>																																						
<b>15) DATOS DEL FUNCIONARIO: EMPLOYEE IDENTIFICATION</b>		<b>16) A) VERIFICACION: VERIFICATION</b>		<b>C) DATOS DEL FUNCIONARIO: EMPLOYEE IDENTIFICATION</b>																																				
<b>a) APELLIDOS Y NOMBRES: SURNAME AND NAME</b>		<input type="checkbox"/> COLUMNAS 6, 7, 9 y 11 ITEMS 6, 7, 9 AND 11		<b>a) APELLIDOS Y NOMBRES: SURNAME AND NAME</b>																																				
<b>b) GRADO: RANK</b>		<b>B) CONOCIMIENTO DE EMBARQUE/ CARTA DE PORTE AEREO O MARITIMO KNOWLEDGE OF EMBARCATION/ CARD OF AIR OR MARITIME DEPARTMENT.</b>		<b>b) CARGO POSITION</b>																																				
<b>(SELLO) STAMP OFFICE</b>				<b>(SELLO) STAMP OFFICE</b>																																				
<b>c) FIRMA: SIGNATURE</b>				<b>c) FIRMA: SIGNATURE</b>																																				
<b>d) FECHA: DATE</b>				<b>d) FECHA: DATE</b>																																				
				D DAY M MONTH A YEAR																																				
<b>17) OBSERVACIONES: NOTES</b>																																								

FIGURE D-46 Example of Venezuela CITES Permit for Export/Re-export



# Appendix E

## *Harmonized System of the World Customs Organization*

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Harmonized System of World Customs Organization (HS) Codes **page E-1**

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### Introduction

This appendix contains the Harmonized System of the World Customs Organization (HS) codes describing and coding goods in trade.

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### Harmonized System of World Customs Organization (HS) Codes

The following Harmonized System of World Custom Organization (HS) codes are referred to in the *CITES I-II-III Manual*.

#### **HS Code 44.03**

Wood in the rough, whether or **not** stripped of bark or sapwood, or roughly squared.

#### **HS Code 44.06**

Railway or tramway sleepers of wood.

#### **HS Code 44.07**

Wood sawn or chipped lengthwise, sliced or peeled, whether or **not** planed, sanded or finger-jointed, of a thickness exceeding 6 mm.

#### **HS Code 44.08**

Veneer sheets and sheets for plywood (whether or **not** spliced) and other wood sawn lengthwise, sliced or peeled, whether or **not** planed, sanded or finger-jointed, of a thickness **not** exceeding 6 mm.

#### **HS Code 44.12.13**

Plywood consisting solely of sheets of wood, each ply **not** exceeding 6 mm in thickness, and with at least one outer ply of tropical wood<sup>1</sup> specified in Subheading Note 1<sup>2</sup>.

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<sup>1</sup> Tropical wood means one of the following types of wood: abura, acajou d'Afrique,

### **HS Code 44.12.14**

Plywood consisting solely of sheets of wood, each ply **not** exceeding 6 mm in thickness, and with at least one outer ply of non-coniferous wood.

### **HS Code 44.12.22**

Other (meaning one ply or more, that is greater than 6 mm in thickness), with at least one outer ply of non-coniferous wood, and with at least one ply of tropical wood specified in Subheading Note 1<sup>2</sup>.

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<sup>2</sup> Subheading Note 1: For the purposes of subheadings 4403.41 to 443.49, 4407.24 to 4407.29, 4408.31 to 4408.39, and 4412.13 to 4412.99, the expression tropical wood means one of the following types of wood: Abura, Acajou d'Afrique, Afrormosia, Ako, Alan, Andiroba, Aningre, Avodire, Azobe, Balau, Balsa, Bosse Clair, Bosse Fonce, Cativo, Cedro, Dabema, Dark Red Meranti, Dibetou, Doussie, Framire, Freijo, Fromager, Fuma, Geronggang, Ilomba, Imbuia, Ipe, Iroko, Jaboty, Jelutong, Jequitiba, Jongkong, Kapur, Kempas, Keruing, Kosipo, Kotibe, Koto, Light Red Meranti, Limba, Louro, Macaranduba, Mahogany, Makore, Mandioquiera, Mansonia, Mengkulang, Meranti Bakau, Merawan, Merbau, Merpauh, Mersawa, Moabi, Niangon, Nyatoh, Obeche, Okoume, Onzabili, Orey, Ovengkol, Ozigo, Padauk, Paldao, Palissandre de Guatemala, Palissandre de Para, Palissandre de Rio, Palissandre de Rose, Pau Amarelo, Pau Marfim, Pulai, Punah, Quaruba, Ramin, Sapelli, Saqui-Saqui, Sepetir, Sipo, Sucupira, Suren, Teak, Tauari, Tiama, Tola, Virola, White Lauan, White Meranti, White Seraya, Yellow Meranti.



# Appendix F

## *Commodity Recognition and Wood Identification*

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### Introduction

This appendix is a synopsis for wood identification of articles and commodities derived from CITES Appendix I, II, and III timber species. Wood identification is a difficult task. We encourage you to become more familiar with wood by using this synopsis.

To assist with CITES timber species commodity recognition and wood identification, we request your assistance in submitting digital images of articles and commodities derived from the CITES timber species listed in this manual. All images received will be reviewed by PPQ CITES Specialists and considered for inclusion in this manual.

Please provide the digital image, your name, work location, the CITES timber digital image, a description of the article, the wood name the article is derived from, and a statement that you are submitting the image(s) for inclusion in the CITES I-II-III Timber Guidelines Manual. Send via e-mail <deborah.j.briggs@aphis.usda.gov> or FedEx to Attention D. Briggs, CITES I-II-III Manual, USDA-APHIS-PPQ Manuals Unit, 69 Thomas Johnson Drive, Suite 100, Frederick, Maryland 21702.

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## Procedures

### Materials Needed

You will need the following materials to identify the wood, since the process usually **cannot** be accurately performed with the naked eye:

- ◆ 14X power hand lens
- ◆ Sharp knife (pen knife or utility knife)
- ◆ Single-edge razor blade

### Identification

If you suspect the commodity or article is something **other than** invoiced, then attempt to verify the article. If you are having difficulty with the identification, then contact a PPQ regional botanist (CBP contact a PPQ regional botanist through proper channels) for assistance.

Follow each step below to identify the wood:

1. Use a sharp knife or razor blade to slice the end or cross grain (transverse section) of a piece of lumber.
2. Examine the sliced wood with a hand lens.
3. Check to see if the wood sample has vessels (pores).
4. Compare what you view through the lens with the specific CITES Appendix I, Appendix II, or Appendix III Protected Timber examples on the following pages.
5. Verify the features of your sample with the features listed in the accompanying description for each wood species.



## CITES Appendix I Protected Timber Species

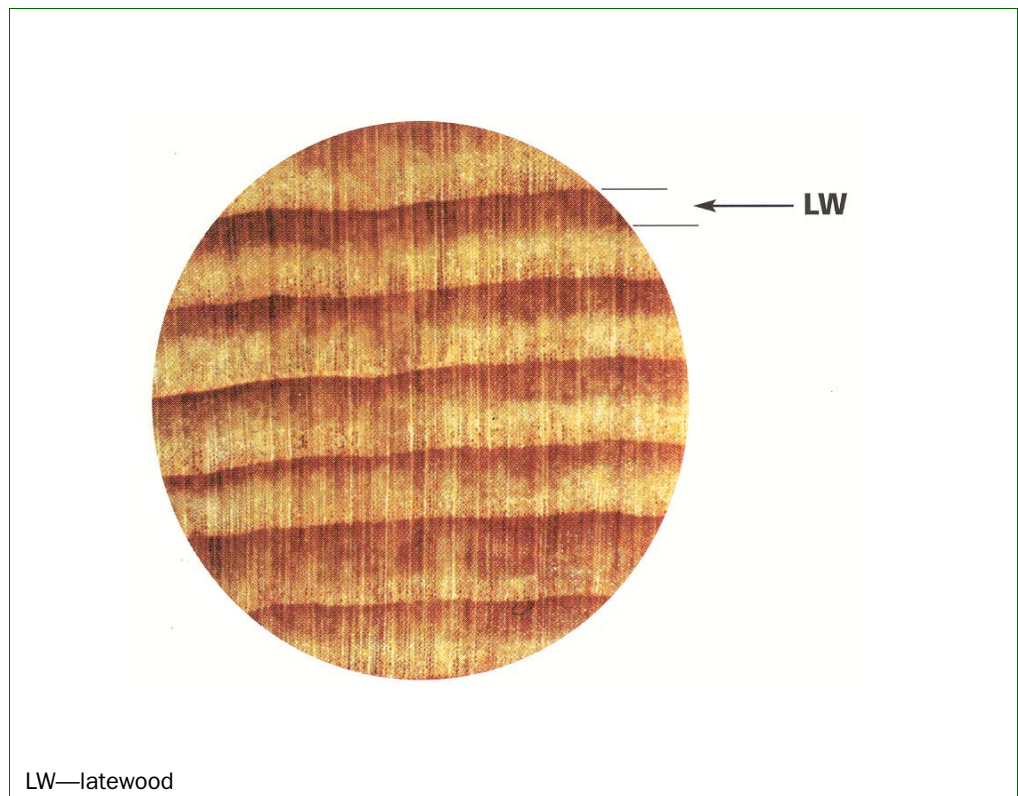
Examples of CITES Appendix I Protected Timber Species follow. Use the following descriptions and examples of protected CITES Appendix timber for comparison with timber or article presented for import or re-export.

### ***Abies guatemalensis* (Guatemalan fir)**

*Abies guatemalensis* (Guatemalan fir) is a softwood.

To identify the wood, check the following:

- ◆ Heartwood is light brown
- ◆ Latewood is prominent (see [Figure F-1](#) below)
- ◆ Resin canals are absent
- ◆ Wood is light in color, soft, and lightweight



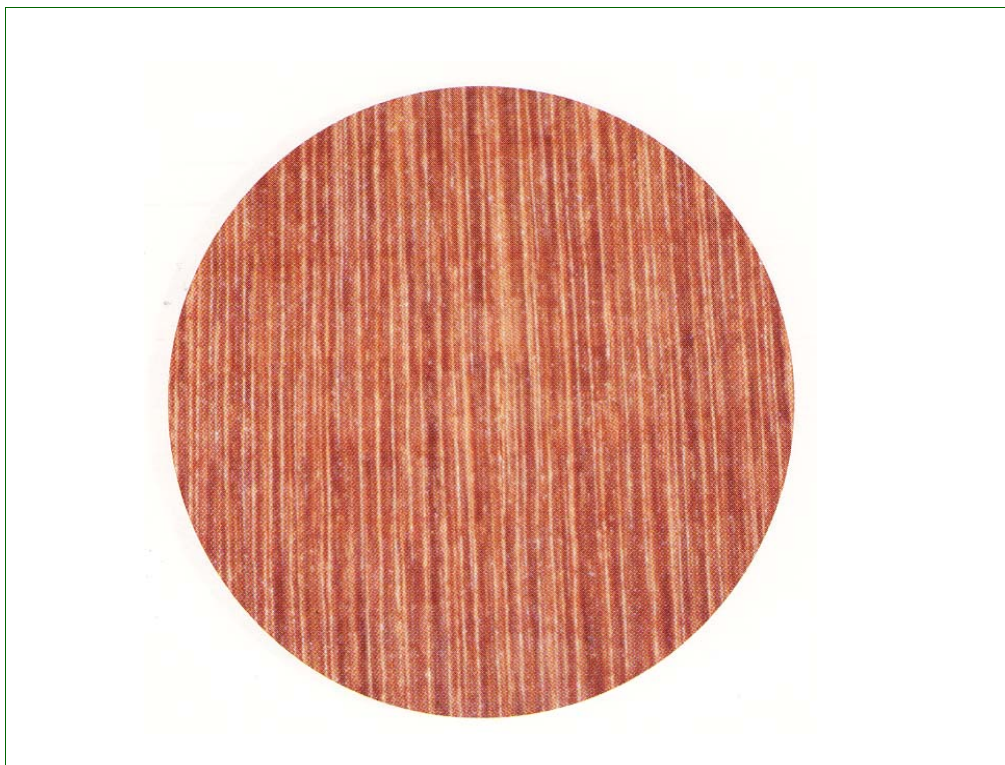
**FIGURE F-1** Example of *Abies guatemalensis* (Guatemalan fir) Wood Cross Section

***Araucaria araucana* (monkey puzzle tree)**

*Araucaria araucana* (monkey puzzle tree) is a softwood.

To identify the wood, check the following:

- ◆ Heartwood pinkish- to light brownish-red
- ◆ Latewood is absent or barely visible
- ◆ Resin canals are absent
- ◆ Wood is soft and lightweight



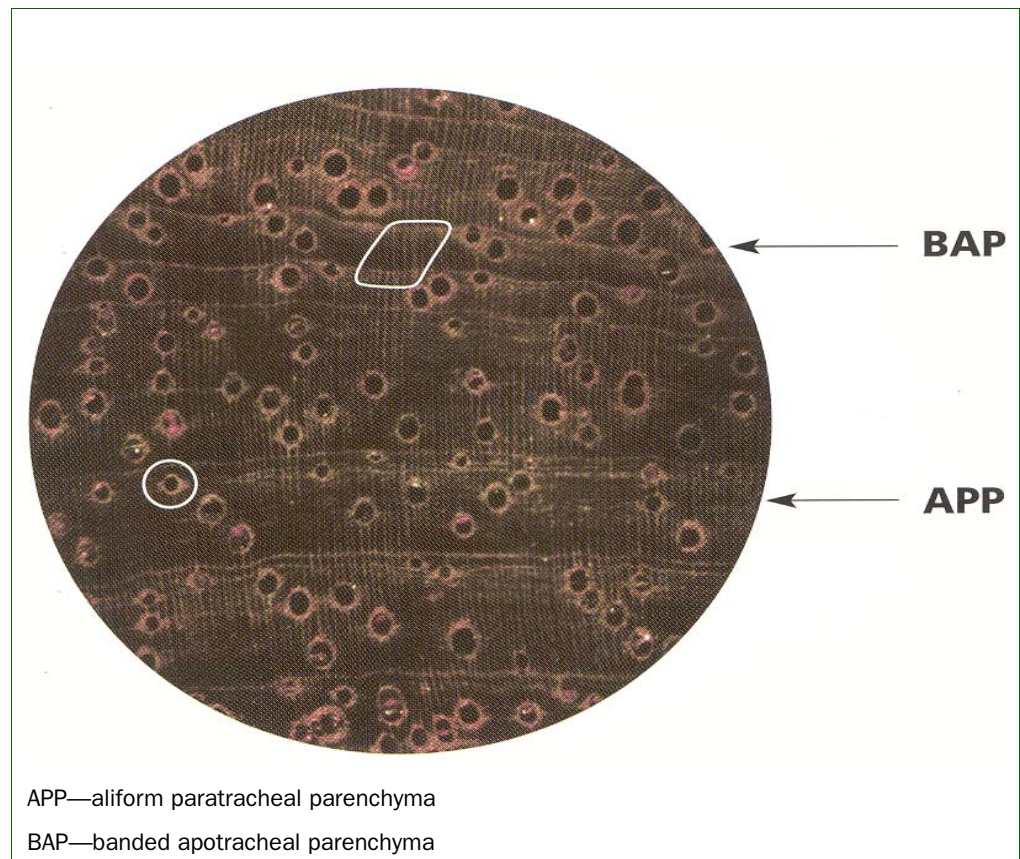
**FIGURE F-2 Example of *Araucaria araucana* (Monkey puzzle tree) Wood Cross Section**

***Dalbergia nigra* (Brazilian rosewood)**

*Dalbergia nigra* (Brazilian rosewood) is a hardwood.

To identify the wood, check the following:

- ◆ Odor is pleasant, faintly sweet or spicy
- ◆ Parenchyma: aliform paratracheal parenchyma present; banded apotracheal parenchyma with prominent bands, irregularly spaced; parenchyma arrangements vary considerably
- ◆ Rays medium-storied
- ◆ Vessels large, relatively numerous
- ◆ Wood is **not** ring porous
- ◆ Wood is dark brown to black with darker streaks, hard, and heavy



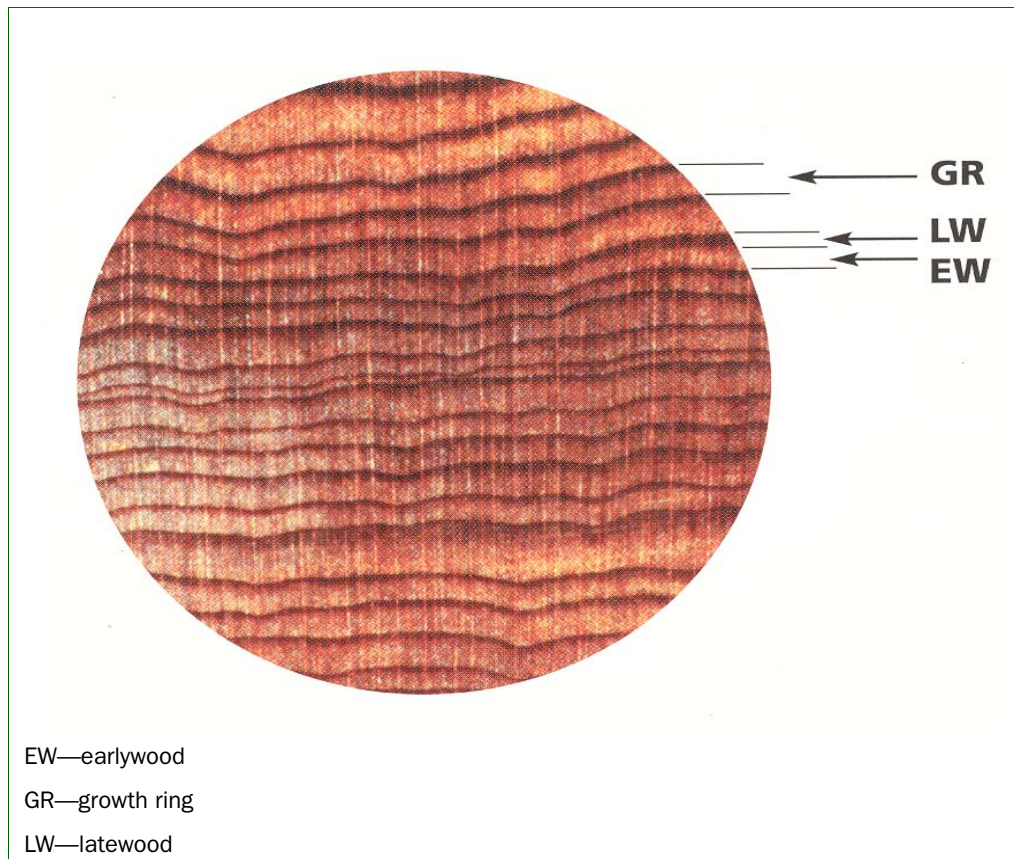
**FIGURE F-3 Example of *Dalbergia nigra* (Brazilian rosewood) Wood Cross Section**

### **Fitzroya cupressoides (Alerce)**

*Fitzroya cupressoides* (Alerce) is a softwood.

To identify the wood, check the following:

- ◆ Heartwood is dark red to reddish brown
- ◆ Latewood is in relatively narrow bands; transition is abrupt between earlywood and latewood (see [Figure F-4](#))
- ◆ Resin canals are absent
- ◆ Wood is moderately hard and heavy



**FIGURE F-4** Example of *Fitzroya cupressoides* (Alerce) Wood Cross Section

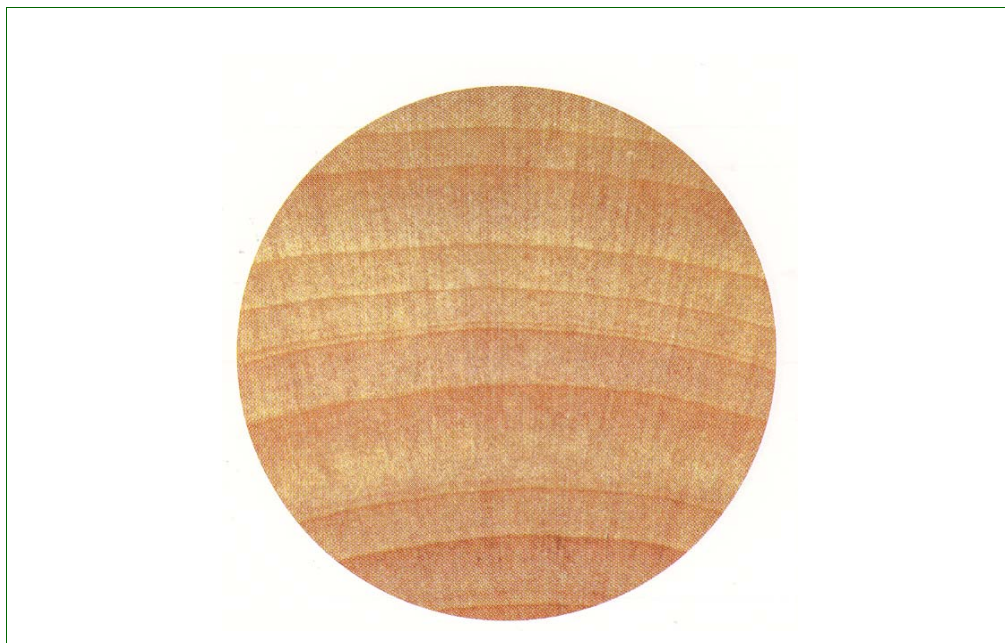


***Podocarpus parlatorei* (Parlatore's podocarp)**

*Podocarpus parlatorei* (Parlatore's podocarp) is a softwood.

To identify the wood, check the following:

- ◆ Heartwood is light brown or tan
- ◆ Resin canals are absent
- ◆ Wood is light in color, relatively soft and lightweight



**FIGURE F-5 Example of *Podocarpus parlatorei* (Parlatore's podocarp) Wood Cross Section**

## CITES Appendix II Protected Timber Species

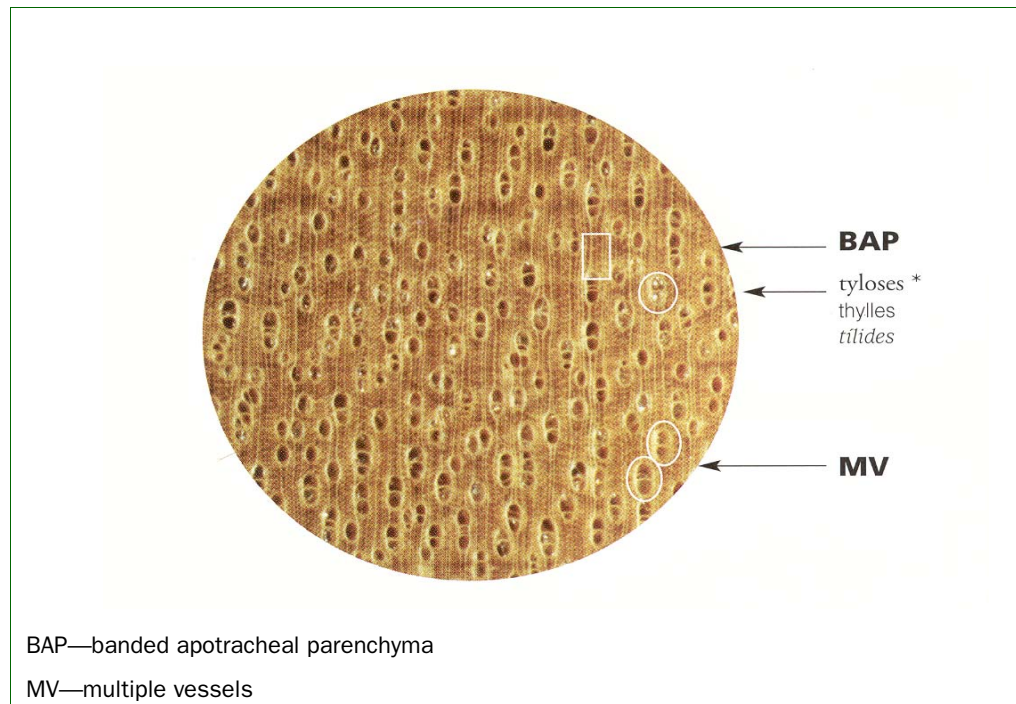
Examples of CITES Appendix II timber species follow.

### *Caryocar costaricense* (Ajillo)

*Caryocar costaricense* (Ajillo) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood is moderately hard and heavy
- ◆ Parenchyma: banded apotracheal parenchyma in short, patchy bands
- ◆ Rays are **not** storied
- ◆ Tyloses are present
- ◆ Vessels and vessel multiples are arranged diffusely and may be clogged with bubbles
- ◆ Wood is **not** ring porous
- ◆ Wood is light tan to light brown



**FIGURE F-6** Example of *Caryocar costaricense* (Ajillo) Wood Cross Section

### *Guaiacum officinale* (Commoner lignum vitae)

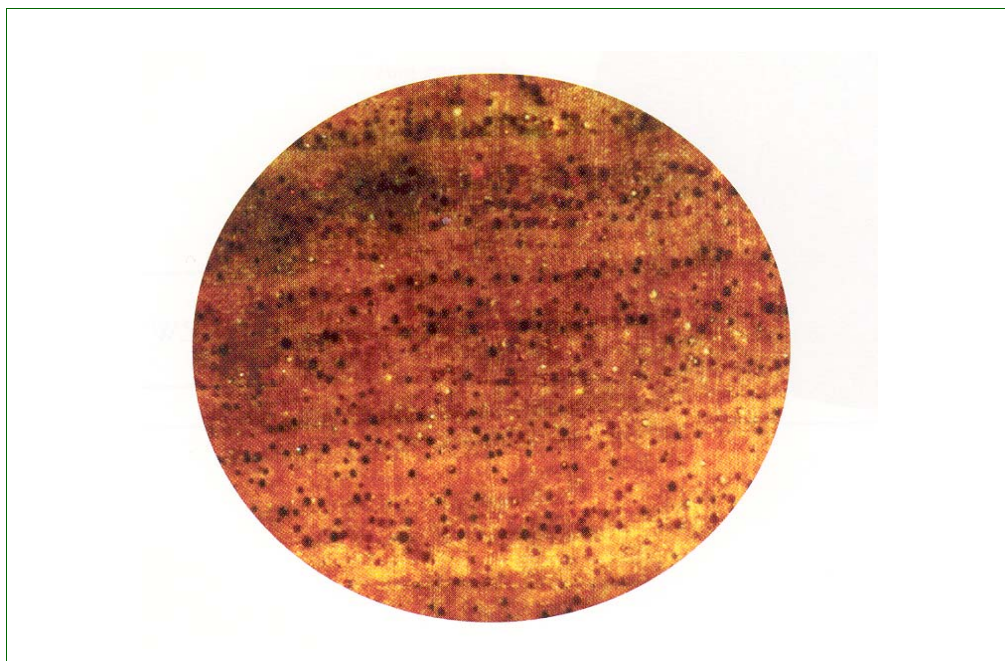


Although all species of *Guaiacum* are protected under CITES Appendix II, **only** two examples are shown in this appendix.

*Guaiacum sanctum* (commoner lignum vitae) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood ranges from dark greenish to black or dark brown
- ◆ Rays are fine-storied
- ◆ Vessels are small, barely visible, and mostly solitary
- ◆ Wood is **not** ring porous
- ◆ Wood is extremely hard and heavy



**FIGURE F-7** Example of *Guaiacum officinale* (Commoner lignum vitae) Wood Cross Section

### ***Guaiacum sanctum* (Holywood lignum vitae)**

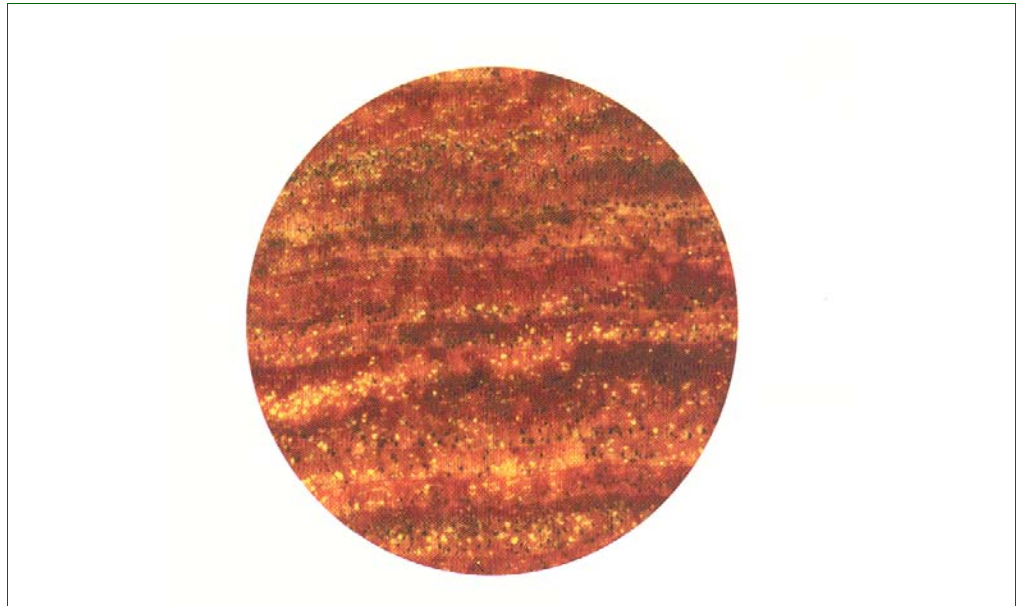


Although all species of *Guaiacum* are protected under CITES Appendix II, **only** two examples are shown in this appendix.

*Guaiacum sanctum* (Holywood lignum vitae) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood is dark greenish, black, or dark brown
- ◆ Rays are fine-storied
- ◆ Vessels are small (barely visible with a hand lens) and mostly solitary
- ◆ Wood is **not** ring porous
- ◆ Wood is extremely hard and heavy



**FIGURE F-8** Example of *Guaiacum sanctum* (Holy lignum vitae) Wood Cross Section

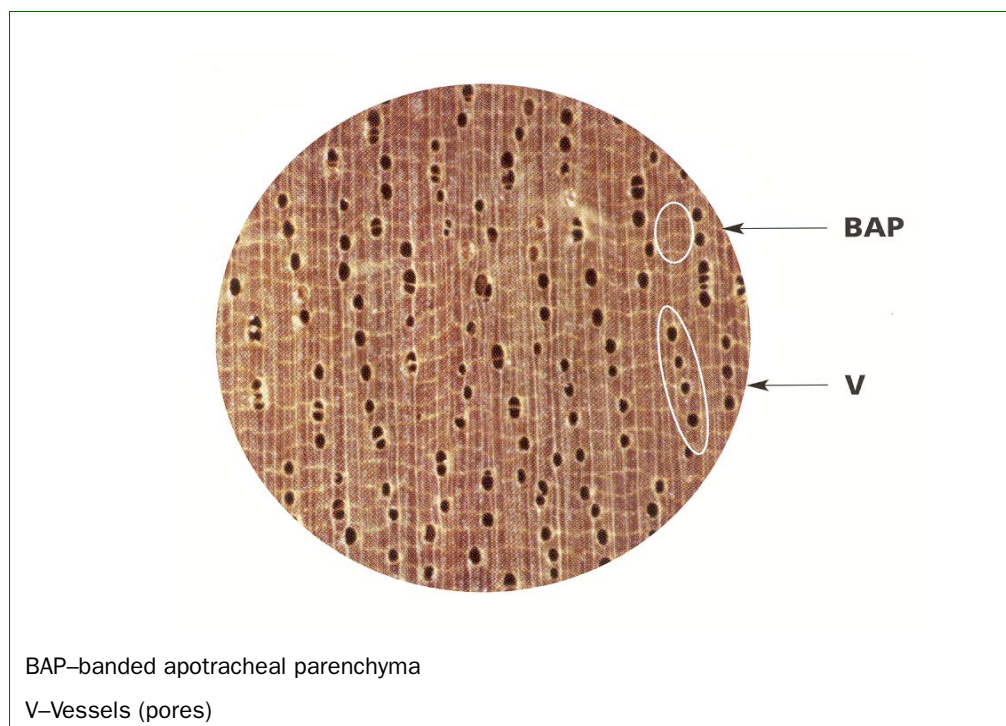


### ***Oreomunnea pterocarpa* (Gavilan)**

*Oreomunnea pterocarpa* (Gavilan) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood color is light brown
- ◆ Parenchyma: banded apotracheal parenchyma is present in long, wavy bands
- ◆ Rays are **not** storied
- ◆ Vessels mostly solitary, in radial or angled files
- ◆ Wood is **not** ring porous
- ◆ Wood is relatively soft and lightweight



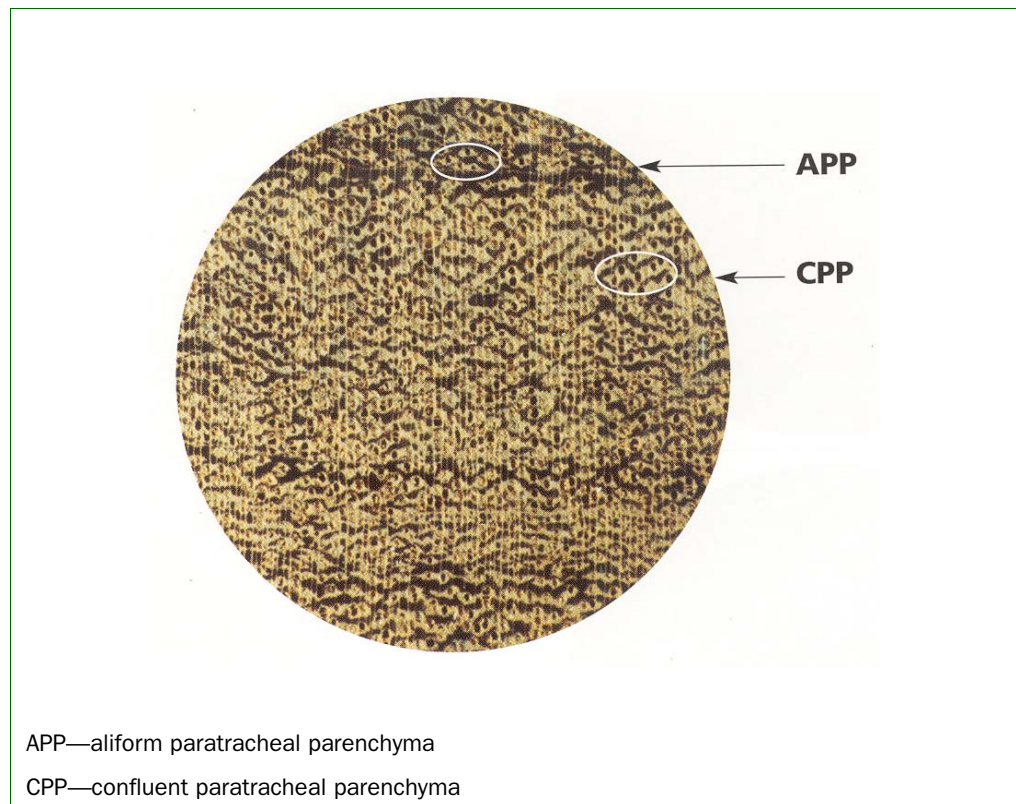
**FIGURE F-9 Example of *Oreomunnea pterocarpa* (Gavilan [Walnut]) Wood Cross Section**

***Pericopsis elata* (Afroormosia)**

*Pericopsis elata* (Afroormosia) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood is medium to dark brown
- ◆ Parenchyma: aliform paratracheal parenchyma and confluent paratracheal parenchyma are present
- ◆ Rays are medium-storied (often hard to detect)
- ◆ Vessels are numerous (barely visible to the naked eye)
- ◆ Wood is **not** ring porous
- ◆ Wood is moderately hard and heavy



**FIGURE F-10 Example of *Pericopsis elata* (Afroormosia) Wood Cross Section**

***Platymiscium pleiostachyum* (cristobal, granadillo)**

*Platymiscium pleiostachyum* (cristobal, granadillo) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood is reddish brown, usually with a purplish cast
- ◆ Parenchyma: lozenge aliform paratracheal parenchyma are present
- ◆ Rays are storied medium
- ◆ Vessels are large and numerous (visible to the naked eye)
- ◆ Wood is **not** ring porous
- ◆ Wood is hard and heavy

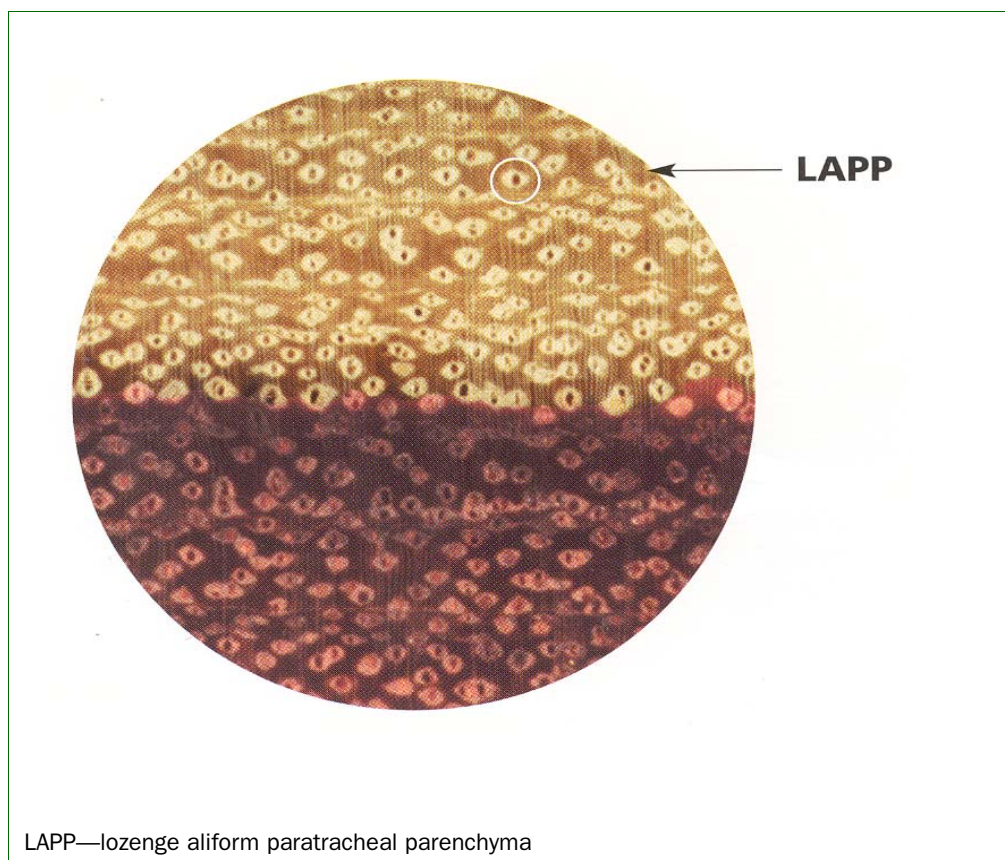


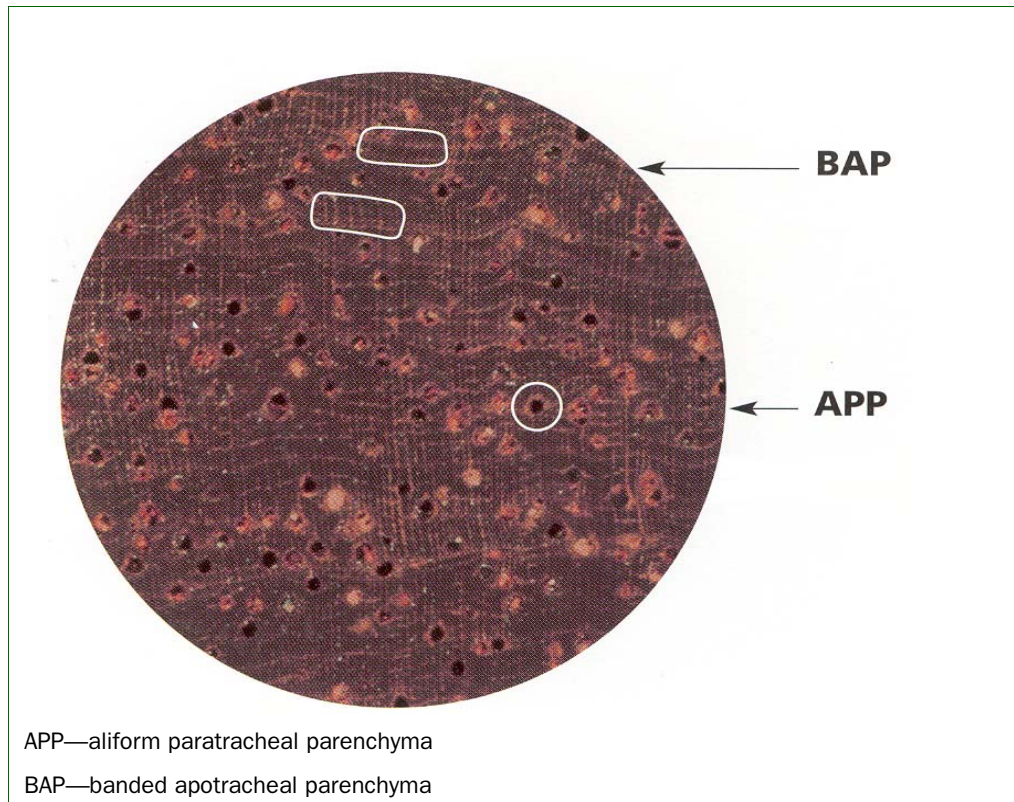
FIGURE F-11 Example of *Platymiscium pleiostachyum* (Cristobal, Granadillo) Wood Cross Section

***Pterocarpus santalinus* (red sandalwood, redsanders)**

*Pterocarpus santalinus* (red sandalwood, redsanders) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood is dark red to reddish brown
- ◆ Parenchyma: aliform paratracheal parenchyma and prominent banded apotracheal parenchyma are present
- ◆ Rays are medium-storied
- ◆ Vessels are large and numerous
- ◆ Wood is **not** ring porous
- ◆ Wood is very hard and heavy



**FIGURE F-12 Example of *Pterocarpus santalinus* (Red sandalwood, Redsanders) Wood Cross Section**

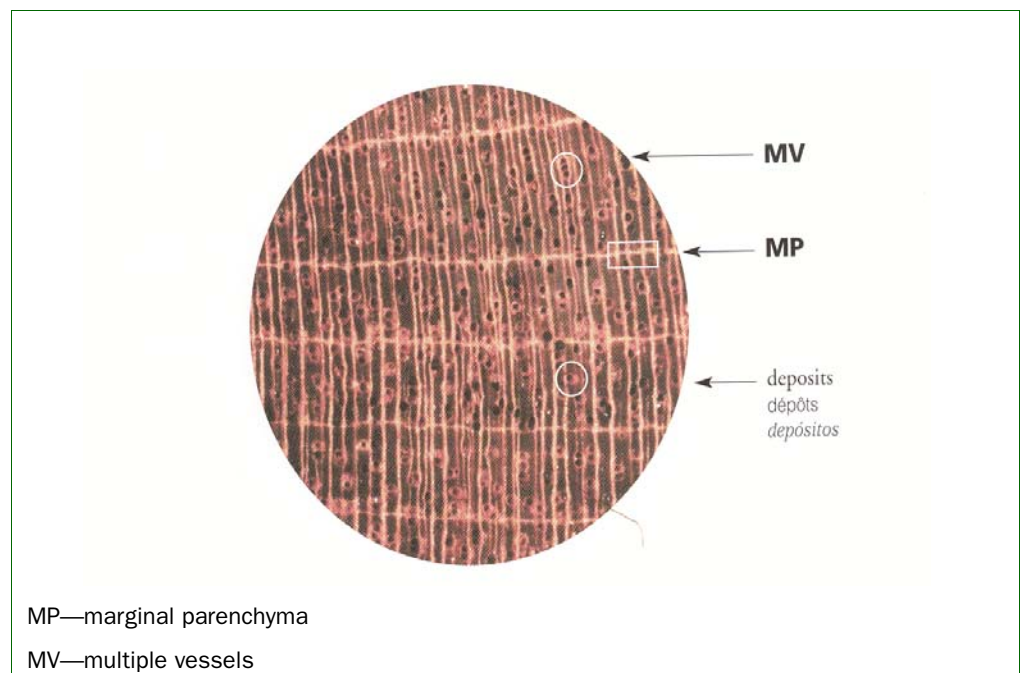


### ***Swietenia humilis* (Mexican mahogany)**

*Swietenia humilis* (Mexican mahogany) is a hardwood.

To identify *Swietenia humilis*, confirm the following:

- ◆ Heartwood is reddish brown
- ◆ Parenchyma: prominent marginal parenchyma are present
- ◆ Rays are coarse-storied
- ◆ Vessels are large (easily visible with the naked eye), often in two or three radial multiples; black or red deposits are common in vessels
- ◆ Wood is **not** ring porous
- ◆ Wood is moderately hard and heavy



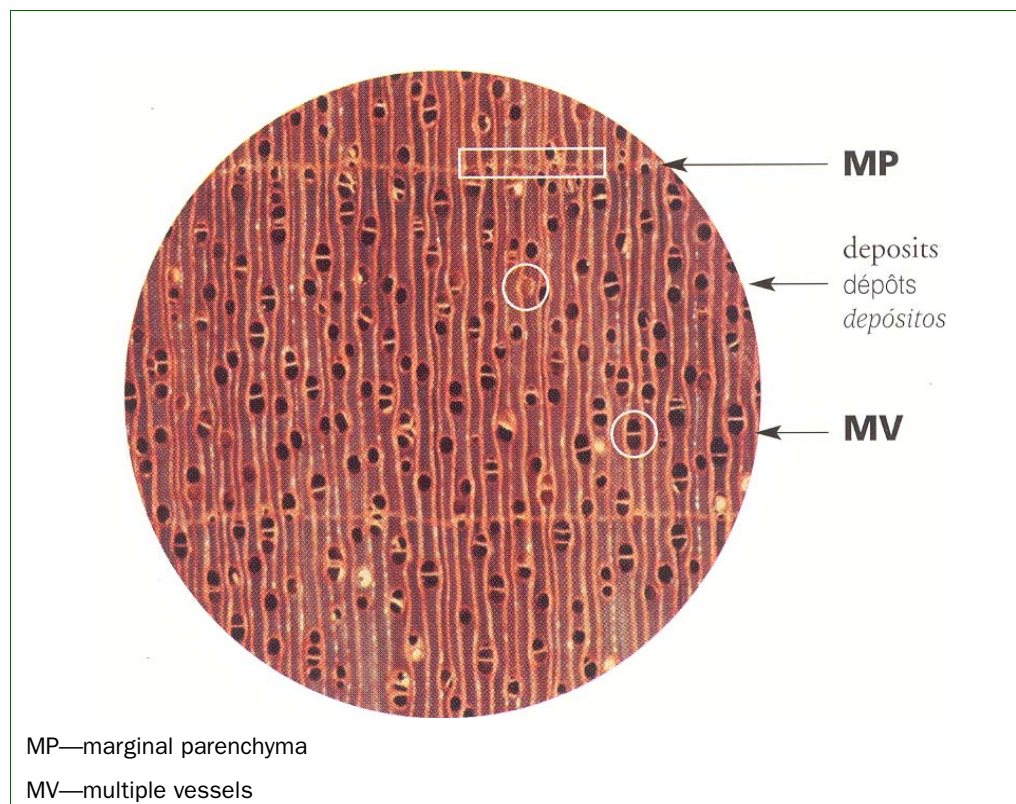
**FIGURE F-13 Example of *Swietenia humilis* (Mexican mahogany) Wood Cross Section**

***Swietenia macrophylla* (bigleaf mahogany)**

*Swietenia macrophylla* (bigleaf mahogany) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood is reddish brown
- ◆ Parenchyma: prominent marginal parenchyma
- ◆ Rays are coarse-storied
- ◆ Vessels are large (easily visible with naked eye), often in multiples of 2 or 3
- ◆ Wood is moderately hard and heavy



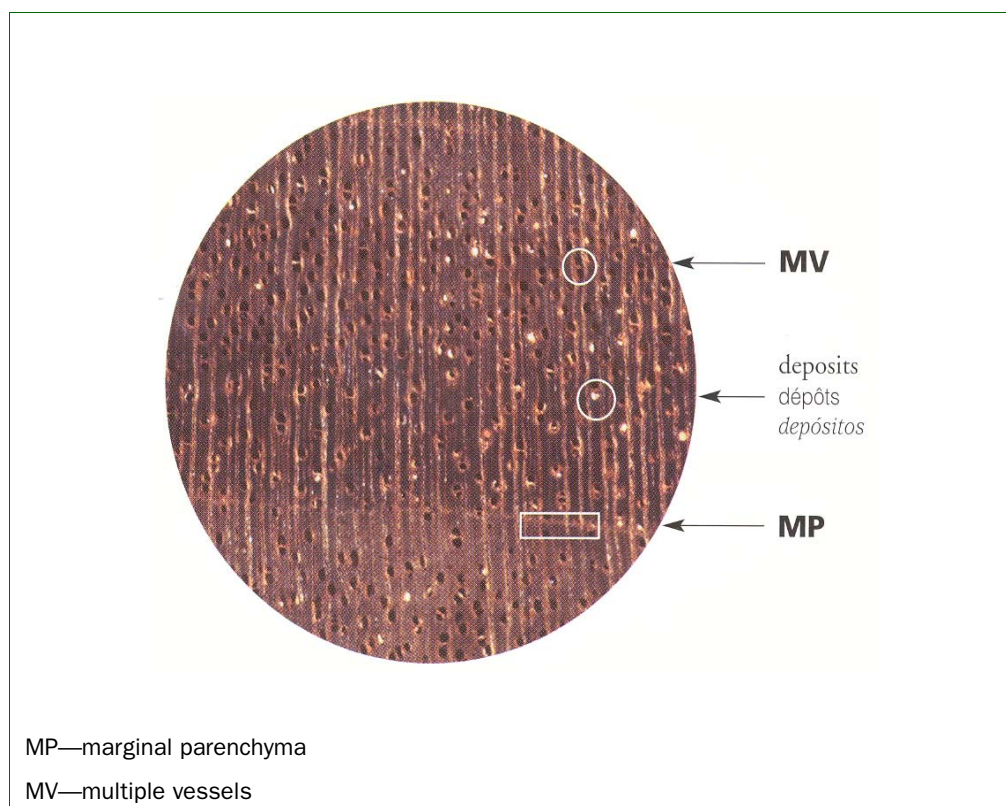
**FIGURE F-14 Example of *Swietenia macrophylla* (Bigleaf mahogany) Wood Cross Section**

### ***Swietenia mahogani* (Caribbean mahogany)**

*Swietenia mahogani* (Caribbean mahogany) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood is reddish brown
- ◆ Parenchyma: prominent marginal parenchyma
- ◆ Rays are usually coarse-storied, but sometimes **not** storied
- ◆ Vessels are large (visible with the naked eye), often with radial multiples of two or three; reddish black or white deposits common
- ◆ Wood is **not** ring porous
- ◆ Wood is moderately hard and heavy



**FIGURE F-15 Example of *Swietenia mahogani* (Caribbean mahogany) Wood Cross Section**

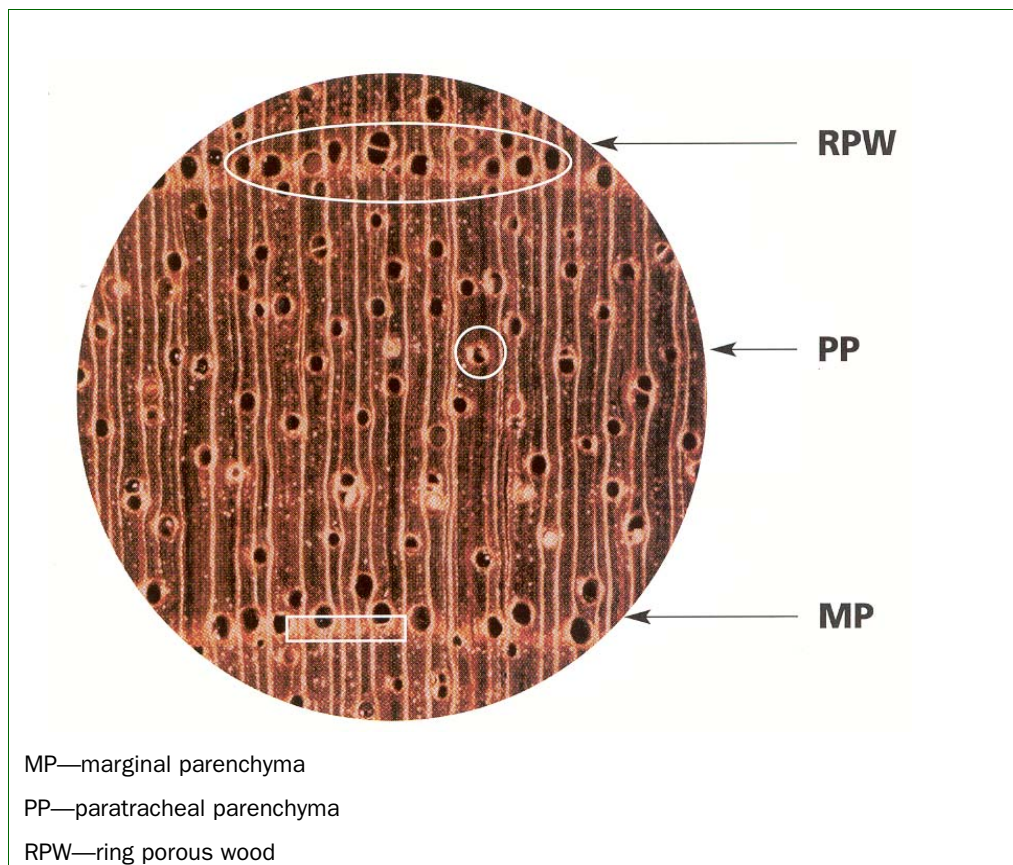
## CITES Appendix III Protected Timber Species

### *Cedrela odorata* (Spanish cedar)

*Cedrela odorata* (Spanish cedar) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood is pale pinkish- to reddish brown (sometimes with a purplish tinge)
- ◆ Odor is distinctive, spicy cedar
- ◆ Parenchyma: paratracheal parenchyma forms a thin ring around the vessels; marginal parenchyma forms thick bands
- ◆ Rays are **not** storied
- ◆ Wood is ring porous
- ◆ Wood is relatively soft and moderately heavy to light



**FIGURE F-16** Example of *Cedrela odorata* (Spanish cedar) Wood Cross Section



***Dipteryx panamensis* (Tonka bean)**

*Dipteryx panamensis* (Tonka bean) is a hardwood.

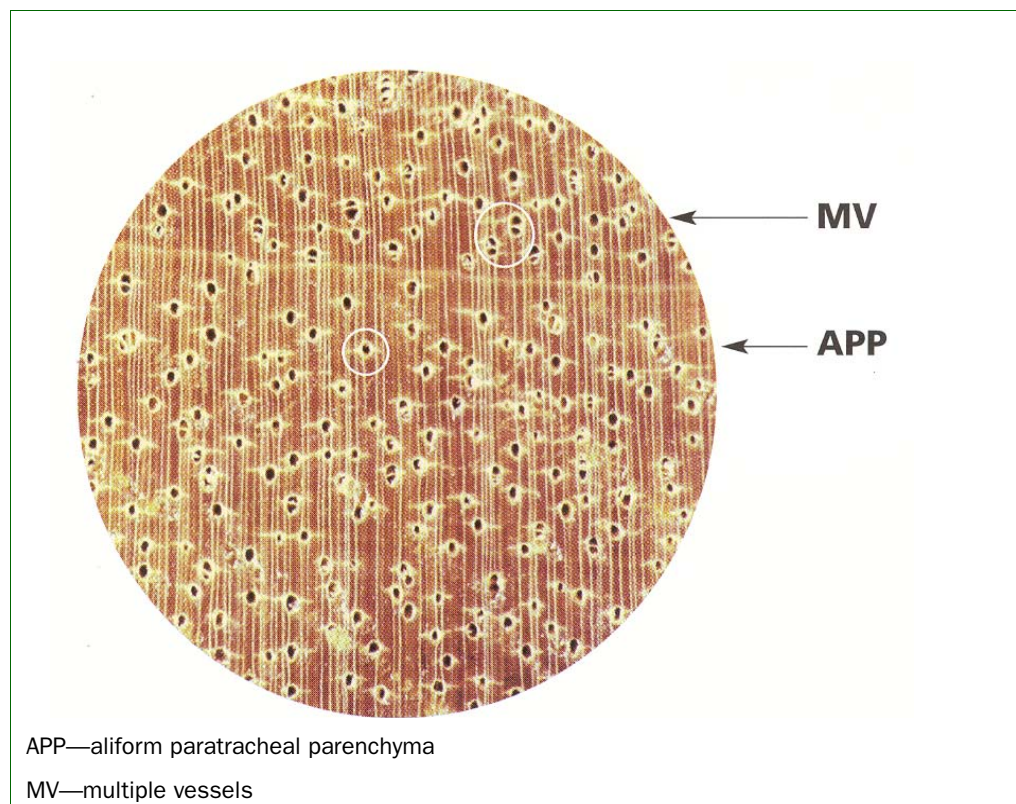
The description and an example are **not** yet available.

### ***Gonystylus* spp. (Ramin)**

*Gonystylus* spp. (Ramin) is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood is whitish to pale yellow
- ◆ Parenchyma: distinct aliform parenchyma; marginal parenchyma sometimes present
- ◆ Ring is **not** porous
- ◆ Vessels are mostly solitary; some in radial multiples of 2 or 3
- ◆ Wood is moderately hard and heavy



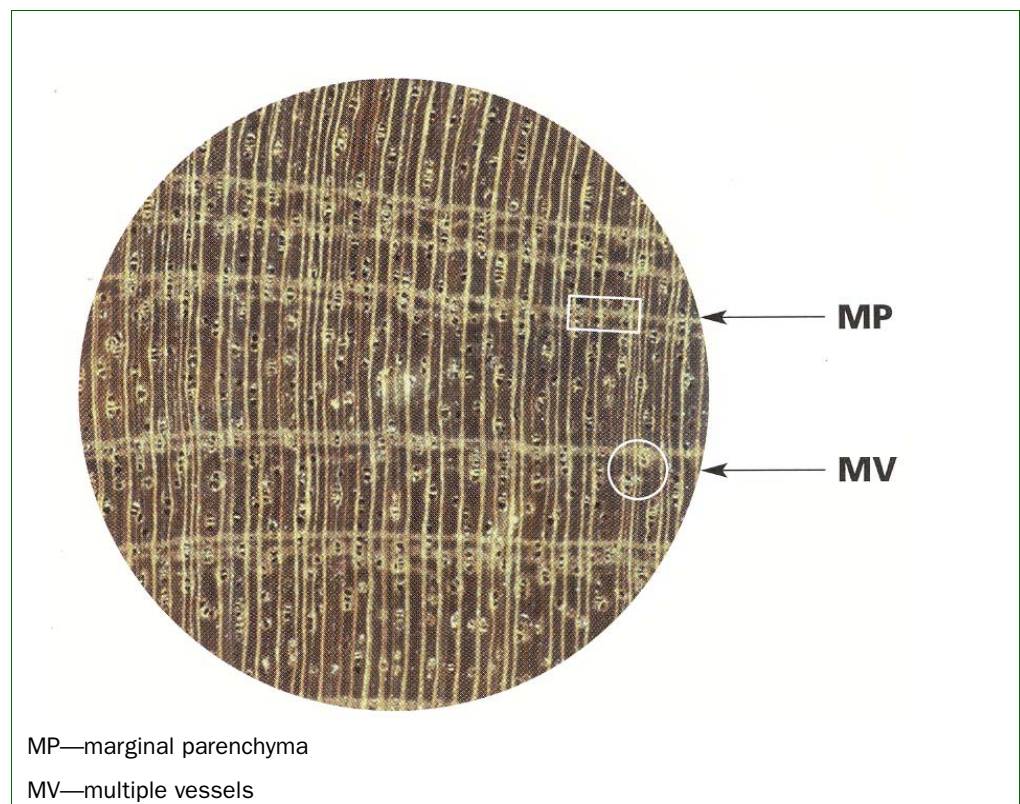
**FIGURE F-17 Example of *Gonystylus* spp. (Ramin) Wood Cross Section**

***Magnolia liliifera* var. *obovata***

*Magnolia liliifera* var. *obovata* is a hardwood.

To identify the wood, check the following:

- ◆ Heartwood is light brown, sometimes with a greenish tinge
- ◆ Parenchyma: marginal parenchyma is present and conspicuous
- ◆ Rays are **not** storied
- ◆ Vessels are often in multiples
- ◆ Wood is **not** ring porous
- ◆ Wood is moderately hard and heavy



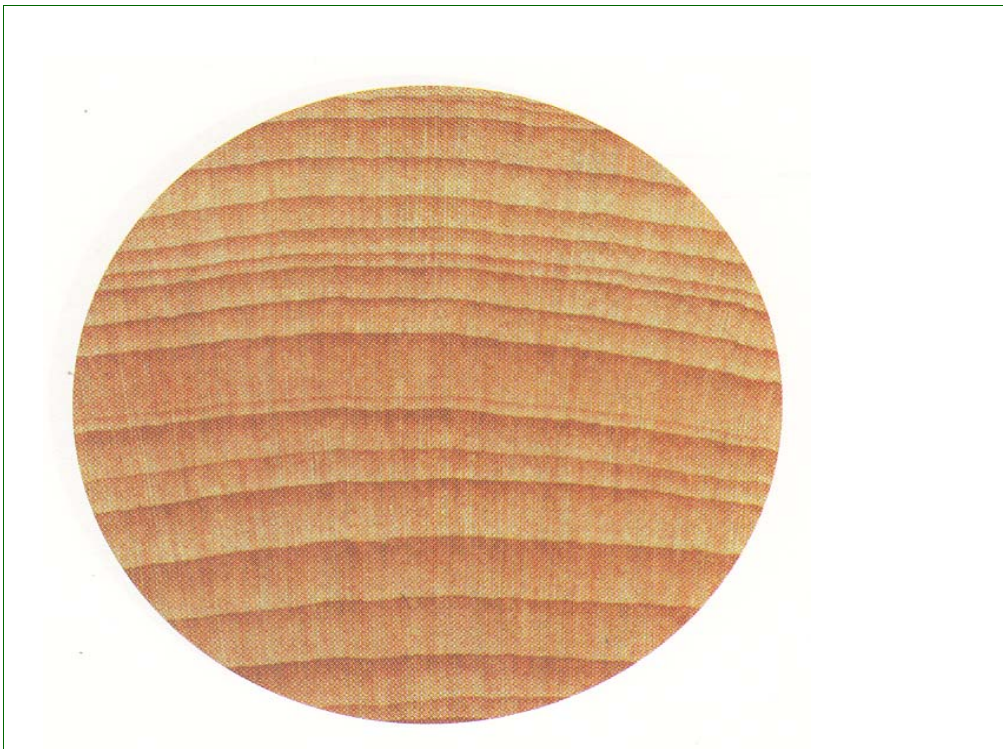
**FIGURE F-18** Example of *Magnolia liliifera* var. *obovata* (Ramin) Wood Cross Section

***Podocarpus neriifolius* (podocarp)**

*Podocarpus neriifolius* (podocarp) is a softwood.

To identify the wood, check the following:

- ◆ Heartwood is light brown or tan
- ◆ Resin canals are absent
- ◆ Wood is light in color; soft, and lightweight



**FIGURE F-19** Example of *Podocarpus neriifolius* (Podocarp) Wood Cross Section

***Tetracentron sinense* (tetracentron)**

*Tetracentron sinense* (tetracentron) is a hardwood.

The description and an example are **not** yet available.





# Appendix G

## *Maintenance of the Manual*

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### Introduction

This appendix contains information about revisions to manuals and the procedures and responsibilities for users to maintain the *CITES I-II-III Manual*. Most manuals are available electronically at the PPQ Manuals Unit Web site at the following URL:

<[http://www.aphis.usda.gov/ppq/manuals/online\\_manuals.html](http://www.aphis.usda.gov/ppq/manuals/online_manuals.html)>

Some manuals are also issued in paper (hard) copy.

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### Policy for Maintaining the *CITES I-II-III Timber Manual*

This appendix contains the systematic procedures and the users' responsibilities for maintaining this manual. How many manuals are supplied to each separate work location varies according to the needs of the location or designated through channels. Each work location **must** have at least one designated individual to maintain each manual. Failure to maintain each manual according to procedures prescribed herein is likely to substantially reduce the effectiveness of the programs the manuals support.

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## Revisions to Manuals

PPQ's Manuals Unit issues revisions by e-mail transmittal memo that identify and either contain an Adobe Acrobat pdf copy of the pages to be added or replaced or refer the manual user to the Manuals Unit Web site to download a pdf copy the updated section of the manual. In addition to e-mail, paper (hard copy) transmittal memos and revisions are occasionally issued. New pages are **not** issued solely to correct a minor typographical error; however, errors that would lead to an incorrect action are immediately corrected and updated.

### Advance Notices

Advance notices are issued when the revisions are not urgent or are extensive (more than 6 pages).

Transmittals (by e-mail or memorandum) for advance notices usually contain the following information:

- ◆ Transmittal number (used to track updates)
- ◆ Alert to users that the manual has been updated
- ◆ Purpose of the revision
- ◆ Supersede statement
- ◆ Instructions to add new pages and remove old pages and replace with new ones

### Immediate Updates

Immediate updates are issued when the revisions are urgently needed and cover 6 pages or less.

Transmittals (by e-mail) for immediate updates usually contain the following information:

- ◆ Transmittal number (used to track updates)
- ◆ Purpose of the immediate update
- ◆ Supersede statement
- ◆ List of the updated pages
- ◆ Instructions to add new papers and to remove old pages and replace with new ones
- ◆ Attachment containing the updated pages

### New Editions

New editions of manuals are scheduled at fixed intervals—barring budgetary constraints—at least every 4 years or when the percentage of updated pages exceeds 30 percent of the entire manual.



## Supersede Statements

Supersede statements identify existing official documents that are no longer valid or accurate because they have been incorporated into a manual. Supersede statements are included in transmittals (e-mail or memorandum) and are critical from a legal standpoint.

PPQ's Manuals Unit is obligated to identify all existing official documents that are superseded. If manual users accessed outdated information that was **not** formally superseded, then the Agency may be liable.

## Keeping the Manual Current

There are three ways to track revisions to your manual: control data, transmittal memos, and the **Update Record**.

### Control Data

The manual has control data positioned at the bottom of most pages. The control data contains the month, year, and transmittal number. New editions of manuals **always** start with -01. The transmittal number increases by 1 for each manual update.

11/2004-01	◆ 11/2004 is the month and year the manual was issued
PPQ	◆ -01 is the transmittal number

**FIGURE G-1 Example of Manual Control Data**

### Transmittal Memos

All new editions and updates are accompanied by transmittal memos that list the transmittal number. Work locations are required to numerically file all transmittal memos. The filed transmittals will be used by Headquarters to audit manuals during port reviews. You may also want to individually retain and file transmittals to assure yourself that you have received all previous issuances.

### Update Record

The **Update Record** is located the page following the title page of the manual. For new editions issued on hard copy (paper), the **Update Record** is on the reverse side of the title page. If you **do not** already have a hard copy of this page, you can get a printed copy from the Web site.

Record the transmittal number and the date each transmittal memo update is received on the **Update Record**. This will let you help you identify if you are missing any transmittals—especially if you find the transmittal numbers are out-of-sequence. During port reviews and/or audits, this record shows if the work location manual is up-to-date.

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## Responsibilities of Manual Users

Electronic copies of each manual are revised and maintained by the Manuals Unit and are available on PPQ's Manuals Unit Web site.

If your work location requires that you print and maintain a hard copy from the posted electronic copy, then continue below.

### Maintain the Paper Copy

To maintain the *CITES I-II-III Manual* paper (hard) copy effectively and to enhance professionalism, the manual **must** be kept up-to-date. If you fail to keep the manuals at your work location updated, you run the risk of making a decision that provides the opportunity for an outbreak of an exotic disease. Your diligence is a crucial part of this process.

When you receive each transmittal and update, do the following:

1. Read the transmittal (memorandum or e-mail) and pages that are part of the transmittal to understand the purpose of the revision. Except for changes to the Index, List of Figures, and List of Changes, all revisions are marked with a change bar as located to the left of this sentence.
2. Record the transmittal number and date the transmittal and was received in the **Update Record**.
3. Add new pages or remove and replace with the revised pages on the same day you receive the transmittal.
4. If required locally, numerically file the transmittal e-mail or memorandum.
5. If you have missed a transmittal, check the Manuals Unit Web site first.

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## Address and Copy Count Changes

Paper copies of some manuals are mailed from the APHIS Printing, Distribution, and Mail Branch located in Riverdale, Maryland. If you receive a paper (hard) copy, then be sure to communicate, through proper channels, changes to address and copy counts for the mailing list.

When updating mailing lists, always provide the following information:

- ◆ Distribution code
- ◆ Access code from a label used to mail the manual (line of letters and numbers directly above the address on the label), for changes and deletions

- ◆ Old address (if applicable)
- ◆ New address (if applicable)
- ◆ Contact person's name, phone number, and FAX number

Mail, FAX, or E-mail the request to the following address:

USDA-APHIS-PDMB  
Printing, Distribution, and Mail Branch  
7400 River Road, Unite 1  
Riverdale, MD 20737-1229  
Attn: Ed Lawson

FAX: 301-734-8455

E-mail: <edward.s.lawson@aphis.usda.gov>

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## **Additional Manuals and Revision Copies**

If the manual and revisions are issued in paper (hard) copy, then you may order additional manuals or revisions. Always provide the following information:

- ◆ Organization name
- ◆ PO Box or street address (include room or suite number)
- ◆ City, State, and nine-digit zip code
- ◆ Contact person's name, phone number, and FAX number
- ◆ Title of manual
- ◆ Transmittal number (if known)
- ◆ Number of copies needed

Mail, FAX, or E-mail the request to the following address:

USDA-APHIS-PDMB  
Printing, Distribution, and Mail Branch  
7400 River Road, Unite 1  
Riverdale, MD 20737-1229  
Attn: Mary L. Kellington

FAX: 301-734-8455

E-mail: <mary.l.kellington@aphis.usda.gov>



# Glossary

## Definitions

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**Aliform paratracheal parenchyma (APP)**—an arrangement of parenchyma cells, as seen in cross section, that are grouped around pores and form wing-like lateral extensions.

**Artificially propagated**—timber taken from trees grown in monospecific plantations.

**Apotracheal parenchyma (AP)**—longitudinal (axial) parenchyma that is **not** associated with pores.

**Banded apotracheal parenchyma (AP)**—layer or band of parenchyma cells **not** associated with the vessels within a growth ring.

**Banded parenchyma**—parenchyma cells that collectively appear as thin lines when viewed in cross section.

**CITES Appendix I**—includes species threatened with extinction. Trade in specimens of these species is permitted **only** in exceptional circumstances; commercial trade is prohibited.

**CITES Appendix II**—includes species **not** necessarily threatened with extinction, but in which trade **must** be controlled in order to avoid utilization incompatible with their survival.

**CITES Appendix III**—includes species that are protected in at least one country which has asked other CITES parties for assistance in controlling the trade of these species.

**Commercial**—trade for the purpose of selling, bartering, collecting, or otherwise as a livelihood or enterprise for gain or profit.

**Confluent paratracheal parenchyma (CPP)**—an arrangement of parenchyma cells that completely surrounds a vessel and extends to connect another vessel appearing as bands when viewed in cross section.

**Convention (CITES)**—The Convention on the International Trade in Endangered Species of Wild Fauna and Flora.

**Conventions**—standard formats used in the manual, such as advisories, boldface, examples, etc.

**Country of origin**—country from which the tree was cut or removed.

**Deposits**—metabolites that accumulate in cells of wood.

**Earlywood (EW)**—first formed position of single growth ring, located on the inside portion of a growth ring. Characterized by large cells and low density.

**General Permit**—USDA-issued permit required for the commercial trade of CITES or ESA regulated terrestrial plants.

**Growth ring (GR)**—the layer of wood added to the stem during one growth period.

**Hardwood**—woods from broad-leaved trees in the botanical group angiosperms, characterized by having vessels. Also referred to as porous woods.

**Harmonized System of the World Customs Organization (HS)**—an international numerical system of tariff codes.

**Heartwood**—wood associated with the central portion of a mature tree and **no** longer conducts sap. Infiltration of various organics impart a darker color to this wood.

**Latewood (LW)**—later formed portion of a growth ring located on the outside portion of the growth ring. Characterized by smaller cells and higher density.

**Logs**—all wood in the rough whether or **not** stripped of bark or sapwood, or roughly squared for processing, notably into sawn wood, pulpwood, or veneer sheets.

**Lozenge aliform paratracheal parenchyma (LAPP)**—aliform paratracheal parenchyma that forms a lozenge shape.

**Lumber (sawn wood)**—wood sawn or chipped lengthwise, sliced or peeled, whether or **not** planed, sanded, or finger-jointed, of a thickness exceeding 6mm.

**Management Authority**—a national authority designated in accordance with CITES Article IX as competent to grant permits and certificates.

**Marginal parenchyma**—cells of parenchyma forming a line at the beginning or end of the growth ring.

**Multiple vessel (MV)**—several vessels adjacent and in-line to one another.

**Paratracheal parenchyma (PP)**—parenchyma that is associated with and often surrounds the vessels.

**Parenchyma**—thin-walled wood cells noted for storage of food reserves appearing light-colored when grouped together, or in continuous bands when viewed in cross section.

**Party**—a State for which the present Convention has entered into force.

**Phloem**—tissue of the inner bark that conducts food upward through the tree.

**Plywood**—consisting of three or more sheets of wood that is glued and pressed one on the other and general disposed so the grains of successive layers are at an angle.

**Pore**—cross-section of a hardwood vessel.

**Radial**—a direction in wood perpendicular to the longitudinal grain direction.

**Radial section**—a section of wood cut in a plane parallel to the rays.

**Ray**—flattened bands of tissue extending horizontally in a radial plan seen in cross section radiating in a direction from the center toward the bark of a tree.

**Re-export**—export of any specimen that has previously been imported.

**Resin canal**—tubular passageways in the wood of some softwoods.

**Ring porous wood (RPW)**—wood in which an arrangement of larger pores are concentrated in the earlywood and smaller pores are found in the latewood.

**Sawn wood**—See *Lumber (sawn wood)*.

**Scientific authority**—a national authority designated in accordance with CITES Article IX responsible for determining if trade will be detrimental to the survival of the species.

**Single vessel**—a vessel that is **not** adjacent to or touching another vessel.

**Softwood**—wood without vessels produced by coniferous trees in the botanical group gymnosperms. Also referred to as nonporous woods.

**Species**—any species, subspecies, or geographically separate population thereof.

**Storied ray (SR)**—rays arranged side-by-side forming horizontal rows which appear as undulant bands seen in tangential section. There are three categories of storied rays: fine (more than 6 rows of rays per mm); medium (more 3 to 6 rows of rays per mm); coarse (2 rows or less per mm).

**Tangential section**—section of wood cut in a plane perpendicular to the rays.

**Trade**—to export, re-export, or import.

**Transverse section (cross section)**—section of wood cut in a plane across the grain.

**Tyloses**—bubble-like structures that form in the vessels of certain hardwood species.

**Veneer**—thin layers of wood of uniform thickness, usually 6 mm or less, usually peeled or sliced for use in making plywood, for veneering furniture, veneer containers, etc.

**Vessel (V)**—a longitudinal conductive passageway formed by an aligned series of vessel elements.



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